DOCUMENT RESUME

ED 299 869 HE 021 752

AUTHOR	Dagley, Duane H., Ed.
TITLE	Courage in Mission: Presidential Leadership in the Church-Related College.
INSTITUTION	Council for Advancement and Support of Education, Washington, D.C.
REPORT NO	ISBN-0-89964-256-X
PUB DATE	88
NOTE	175p.
AVAILABLE FROM	Council for Advancement and Support of Education, Suite 400, 11 Dupont Circle, Washington, D.C. 20036 ($21.50).
PUB TYPE	Viewpoints (120) -- Books (010) -- Collected Works - General (020)
EDRS PRICE	MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	*Administrator Responsibility; *Church Related Colleges; College Administration; College Planning; *College Presidents; *College Role; Higher Education; *Institutional Mission; *Leadership Styles; Private Colleges; Trustees

ABSTRACT

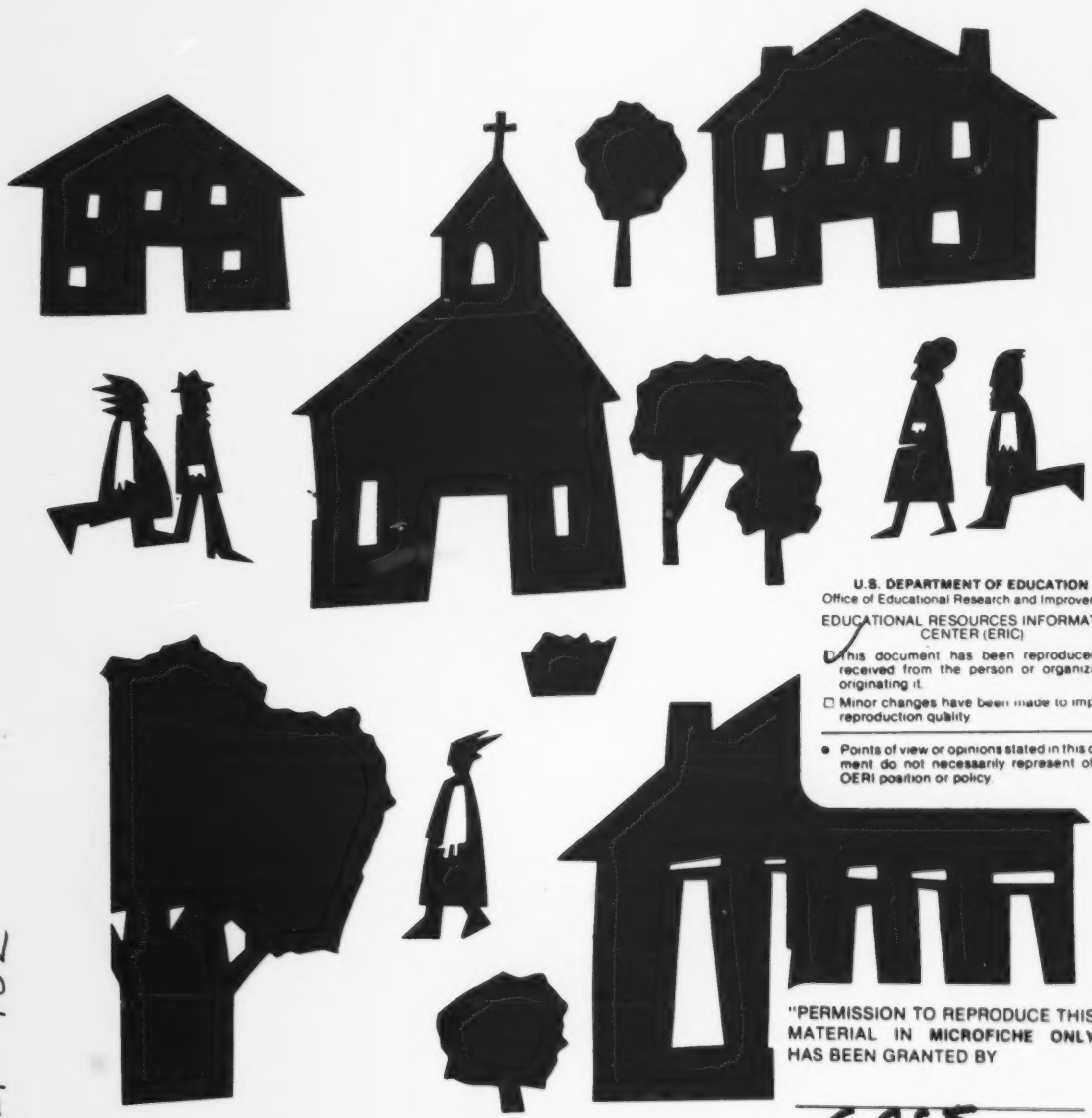
The following essays on presidential leadership by 12 presidents and former presidents of church-related colleges are presented in five sections: Section 1, The President and Institutional Challenge, contains "A Call for the President as Spiritual Director" (Duane H. Bagley); Section 2, Articulating the Mission, contains "The President and the Role and Mission of the College" (John D. Moseley); and Section 3, Mission and Institutional Achievement: Two Case Studies, contains "The Triumph of the Liberal Arts in a Changing Environment: The Birmingham-Southern Experience" (Neal R. Berte) and "The President and Institutional Advancement: The Story of St. Michael's College" (Edward L. Henry). Section 4, Carrying Out the Vision is the book's longest section and contains seven essays: "The Independent College and University President as Educational Leader" (Jerald C. Walker); "The President and Planning: Management and Vision" (Louis C. Vaccaro); "Building an Effective Board of Trustees" (Catherine Dunn); "The President and the College Community: Student Services--The Second Curriculum" (Keith G. Briscoe); "Building a Team in a Christian College" (David C. Le Shana); "Laws, Lawyers, and Legislation: Triple Threats to Visionary Presidential Leadership" (Eugene B. Habecker); and "The Presidential Role in Financial Development" Robert W. Brown). Section 5, Growing in the Presidency, contains the book's concluding article, "Professional Renewal for the College President" (Dan C. West). (KM)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED299869

Courage in Mission: Presidential Leadership in the Church-related College

Duane H. Dagley, Editor



U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

☑ This document has been reproduced as received from the person or organization originating it.

☐ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

"PERMISSION TO REPRODUCE THIS MATERIAL IN MICROFICHE ONLY HAS BEEN GRANTED BY

CASE

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

Council for Advancement and Support of Education

HE 021 752

Courage in Mission: Presidential Leadership in the Church-related College

Duane H. Dagley, Editor

Council for Advancement and Support of Education

© 1988 by Council for Advancement and Support of Education

ISBN 0-89964-256-X

Printed in the United States of America.

In 1974, the American Alumni Council (founded in 1913) and the American College Public Relations Association (founded in 1917) merged to become the Council for Advancement and Support of Education (CASE).

Today, approximately 2,850 colleges, universities, and independent elementary and secondary schools in the U.S. and 23 countries belong to CASE. This makes ours the largest nonprofit 501(c)(3) education association in terms of institutional membership. Representing the member institutions in CASE are more than 13,000 individual professionals in institutional advancement.

CASE's mission is to advance understanding and support of education for the benefit of society. Central to its mission are its member colleges, universities, and independent schools. CASE fulfills this mission by providing services to beginning, mid-level, and senior advancement professionals; direct services to member institutions; and public affairs programs that bond higher education to the public interest.

CASE offers books, art packages, videotapes, and focus issues of the monthly magazine, CURRENTS, to professionals in institutional advancement. The books cover topics in alumni administration, creative communications, fund raising, government relations, institutional relations, management, marketing, publications, and student recruitment. For a copy of the catalog, RESOURCES, write to the CASE Publications Order Department, 80 South Early Street, Alexandria, VA 22304. For more information about CASE programs and services, call (202) 328-5900.

Book design by Richard Rabil
Cover illustration by Michael David Brown

Council for Advancement and Support of Education
Suite 400, 11 Dupont Circle, Washington, DC 20036

Contents

Acknowledgements i

Preface iii
Gary H. Quehl

Foreword v
Theodore Hesburgh

Section 1: The President and Institutional Challenge

1. A Call for the President as Spiritual Director 1
Duane H. Dagley

Section 2: Articulating the Mission

2. The President and the Role and Mission of the College 15
John D. Moseley

Section 3: Mission and Institutional Advancement: Two Case Studies

3. The Triumph of the Liberal Arts in a Changing Environment: The Birmingham-Southern Experience 37
Neal R. Berte

4. The President and Institutional Advancement: The Story of St. Michael's College 49
Edward L. Henry

Section 4: Carrying Out the Vision

5. The Independent College and University President as Educational Leader 65
Jerald C. Walker

6. The President and Planning: Management and Vision 75
Louis C. Vaccaro

7. Building an Effective Board of Trustees 83
Catherine Dunn, BVM

8. The President and the College Community:
Student Services—The Second Curriculum 95
Keith G. Briscoe

9. Building a Team in a Christian College 113
David C. Le Shana

10. Laws, Lawyers, and Legislation:
Triple Threats to Visionary Presidential Leadership 131
Eugene B. Habecker

11. The Presidential Role in Financial Development 145
Robert W. Brown

Section 5: Growing in the Presidency

12. Professional Renewal for the College President 159
Dan C. West

Acknowledgements

It is impossible to acknowledge all of the people who have played a part in *Courage in Mission*. But I want to mention a few who have really gone the extra mile.

The task would not have been possible without the professional guidance and editing of Drs. Mary Abbott Waite and Jan G. Thompson. They not only provided leadership and inspiration in the development of the book, but deserve credit for the title and much of the behind-the-scenes work and research and validation. I continue to be amazed at Dr. Waite's ability to change three or four words and make a whole paragraph come to life. She also deserves a lot of credit for being willing to work with my often ridiculous travel schedule and for constantly reminding me of the need to be patient—a publication takes time.

Unexpected dividends of editing this book were the spirit of cooperation and the beautiful relationships I developed with some truly great people. Every contributor had a thousand other important things to do, but somehow found the time to share his or her wisdom. Each of them brought new meaning to the often-used proverb that if you want something done, you ask a busy person to do it. Since there was no potential for financial gain for any of us, the entire project has truly been a labor of love.

Each telephone call and each personal encounter with a contributor was a high time for me. The amount of time each contributor spent trying to communicate his or her message in the best possible way was unbelievable. The level of interest in the project was a continual encouragement. Time and again, a contributor would call at a time when the outlook was the gloomiest and provide just the needed encouragement.

My administrative assistant, Carol Ann Copeland, also deserves special recognition. Typing editorial comments and ultimately the chapters was probably her easiest task. Dealing with deadlines and coordinating busy schedules was often a real challenge. I would be remiss not to mention my wife Barbara and our three children, Susan, Janet, and David, as their support and understanding helped make it all possible.

And, finally, Susan Hunt of the CASE editorial staff has worked tirelessly to do the final editing and prepare the book for publication.

Maybe when all is said and done, those people I have not acknowledged who found it within themselves to have faith in me as a friend, colleague, employer, consultant, or teacher are the ones most deserving of special acknowledgement. It is to these people I owe it all. It is to these people that I dedicate *Courage in Mission*.

Duane H. Dagley
D.H. Dagley Associates, Inc.

Preface

The office of college or university president may seem to be one of enviable power and privilege, but those who serve sometimes experience the presidency as an exercise in frustration. Too often the president lives in a state of siege—under the pressure of seemingly impossible demands from all of the institution's constituencies: faculty, students, administrators, trustees, townspeople, governors, donors, and state and federal governmental officials. And the president of a church-related college must deal with yet another constituency with expectations and needs of its own—the denomination with which the institution is affiliated.

We may well believe that the men and women who accept this challenge of leadership need "courage in mission." For our church-related institutions are an essential part of the diversity of our system of higher education—a diversity that is the secret of its strength. Many of these institutions find their very survival to be at stake as they face the problems of the remainder of the 20th century. For this is a time of crisis and change in independent and church-related education.

This book is directed to presidents of church-related institutions and other independent colleges that share common problems. *Courage in Mission* will also be of special interest to trustees of these colleges and to other administrators and faculty members who would benefit by knowing more about the leadership of these institutions.

Editor Duane Dagley has had 25 years of experience in church-related higher education. When he conceived the idea for *Courage in Mission: Presidential Leadership in the Church-related College*, he selected 12 presidents or presidents emeriti whose stories and insights, he felt, would provide help to their beleaguered colleagues. For these colleges need strong leadership if they are to survive, and each of the chapters in this book represents the success story of one such leader.

In my travels throughout the country, I have found that our colleges and universities are well served by the presidents who lead them—men and women who possess boundless energy and deep commitment to their institutions and who are optimistic about the problems ahead. *Courage in Mission* can help them meet the challenge of the future creatively and with vision.

Gary H. Quehl
President, CASE
April 1988

Foreword

In *The Report of the Commission on Strengthening Presidential Leadership,* Clark Kerr concluded that the strength of the college presidency, in most institutions, has been weakened over the past 20 years. Many factors have been cited as contributing to the erosion of both independent colleges and the presidency, among them diminishing public confidence in higher education, declining enrollments, rising costs, myriad legal issues, and too much emphasis on management at the cost of leadership. This litany of constraints is all too familiar and too often used to excuse mediocrity.

Instead, such troubled times offer a new opportunity for vision and growth, particularly to church-related colleges, which have historically responded to new needs in a changing society. With their strong commitment to the values of liberal learning and to the value of human lives, church-related and independent colleges have a vital constructive role to play in a world shrinking through technology yet increasingly divided, it too often seems, by ideology, disparate economic development, and unequal standards of living. Accepting such a challenge, however, requires strong presidential leadership.

Across the land, while many church-related colleges are struggling simply to keep the doors open, others are working and growing with a renewed mission to meet these new challenges. The very vitality of their goals and mission invigorates these growing colleges in a way the limited goals of those simply propping the door open never can.

Courage in Mission: Presidential Leadership in the Church-related College shares both the excitement of this vision and its practical application in many specific areas of concern. The contributors of the essays have distinguished themselves as presidents of church-related colleges and universities. Each in one way or another illustrates courage in mission. Each has found or created opportunities within the individual college's mission that have strengthened distinctiveness. Though individual styles of leadership vary, all have demonstrated an ability to engage the various constituencies of their colleges in creative response to the challenge.

Courage in Mission, then, is must reading for the aspiring president, the new president, and the established president who would become a stronger, more effective leader. But it should also be must reading for all college leaders who work with presidents—trustees, faculty, administrators, and any who would understand what presidential leadership in the church-related college can be. The task is larger than one man or woman; it belongs to all who would see these colleges in renewed mission grow to meet the needs of a new millennium.

Theodore Hesburgh
Former President of the University of Notre Dame

Section 1

The President and Institutional Challenge

Duane H. Dagley

Twenty-five years in church-related higher education gave Duane H. Dagley both the inspiration for and the commitment to producing *Courage in Mission.* As president since 1974 of D.H. Dagley Associates, Inc., a consulting firm specializing in admissions management for independent colleges, Mr. Dagley had a view of college presidencies and administrations as intimate as that of senior staff but from a perspective outside the institutions which lent itself to different, perhaps more objective insights.

Over the years, as Mr. Dagley and his staff worked with church-related colleges, analyzing failures and successes, he observed that those that prospered or were able to reverse declining enrollments, giving, and image were those with a strong, controlling sense of mission and strong presidential leadership. "The President and Institutional Challenge: A Call for the President as Spiritual Director" and the overall focus of the book have grown from Mr. Dagley's extensive work with presidents and intensive study of the presidency in independent colleges.

Since its beginning, D.H. Dagley Associates has worked with nearly 50 church-related colleges. Enrollment in all these institutions has increased an average of 37 percent. Before establishing this firm, Mr. Dagley served for three years as director of admissions at Lambuth College and for 10 years as recruiter, assistant director of admissions, and director of admissions at Culver-Stockton College. He earned an A.A. at Lincoln College, a B.S. at Culver-Stockton, and an M.Ed. at the University of Missouri. His publications include numerous training manuals and materials in admissions and management. He is a United Methodist layman and a member of the Georgia United Methodist Commission on Higher Education.

Chapter 1

A Call for the President as Spiritual Director

Duane H. Dagley
President
D.H. Dagley Associates, Inc.

Red River College, Smalltown, USA. In the unpretentious office of the president of Red River College sit a faculty member recently turned development officer, the financial officer, three prominent trustees, and a visiting consultant. The air is still and the mood somber as the president opens the meeting.

He says, "Friends, the hard news is that unless the present downward trend in enrollment is reversed, Red River will be forced to announce plans to close at the end of term. As you know, we cut staff and faculty drastically last year in an attempt to balance the budget. Then enrollment dropped further. We've had high turnover in admissions staff for three years in a row. And cutbacks in faculty and programs have made it even harder to keep current students and attract new ones. We're at the end of our rope."

The visiting consultant asks, "What is the college's direction? Where would you like it to go—if you weren't faced with this crisis?"

"We really don't know," says the president. "We've considered several options and tried some, but nothing has really worked. We need someone who can tell us what we can do to become distinctive. We have excellent programs now in business management, computer science, music, and education; we just need more students."

"Well, what is the purpose and mission of the college?" the consultant asks.

A trustee responds by asking the financial officer to "get the notebook that explains our purpose."

After a brief review of the relevant part of this document, the consultant says that no amount of recruiting can make up for an inadequate purpose, and Red River's is so vague as to be almost nonexistent. A heated discussion follows until the consultant makes a suggestion: "Many colleges have found their mission in their roots. Maybe Red River's original purpose may shed some light on its mission today."

"But Red River was founded as a single-sex institution," says one trustee. "Surely you don't recommend that we go back to that?"

"We were a Christian college then," another comments. "Do you think there's a market today for a Christian college?"

"It has some possibilities," says the consultant, "but only if...."

At this point, the president interrupts. "I never liked the idea that we weren't a Christian college."

Now the idea catches fire, the group is enthusiastic, a solution has been found—they are saved! At this point, the consultant slips out unobserved and muttering to himself, "Is there no end to what an institution will do to survive?"

The scenario above is not exaggerated. Scenes like this take place all too frequently in independent liberal arts colleges. Dwindling economic resources and a declining pool of traditional college-age youth will continue to threaten the health of independent colleges for the rest of the century. And the demographics and prospects for dramatic improvements are not significantly better for the remainder of the 20th century. These are times of crises and great change in independent and church-related education. Increasing numbers of colleges are facing large deficits and inadequate enrollments. Some have been forced to close their doors, and others undoubtedly will do so in the near future.

As the problems mount, the demands on the college president become increasingly unrealistic. When declining enrollments lead to deficits, the president must spend more of his or her time on fund-raising activities. This leaves less time for leadership and this affects retention, which means enrollments decline further, requiring ever more vigorous fund-raising activities, and the cycle continues. What is the president to do?

Some presidents deal with these pressures by becoming full-time managers. In a crisis it is easier to manage than to lead. Thus the literature available to college presidents who face institutional crisis invariably emphasizes management rather than leadership. But this response is a serious mistake in times of trouble.

Manager-presidents, no matter how efficient, tend to spend most of their time in maintenance activities, dealing with cash-flow management or relatively trivial faculty disputes. Too often they fail to prioritize, taking on dozens of tasks they should delegate to others. Meetings, for example, consume too much of everybody's time, and the president's time is particularly valuable. Too often a manager-president sits through meeting after meeting, when he or she could have delegated a representative to attend or arranged to be present for only those items on the agenda that need the president's input. Colleges do not need—and cannot

afford—this kind of leadership.

These troubled times in the academy demand men and women who will dare to be leaders, men and women of vision and courage who will restore accountability and quality controls, who will prioritize tasks and delegate authority to achieve goals, who will boldly lead their institutions into the 21st century.

Courage in Mission is addressed to the men and women who are and who will be these leaders. It is a practical book that deals with the problems facing the leaders of independent colleges. Though special attention is given to church-related colleges, which comprise nearly half of all independent institutions, leaders of any independent college will find much help here. The man or woman who aspires to a college presidency will be challenged to reassess his or her fitness for this role. The new president will find answers to many of those problems that must be faced daily. The tenured president will find inspiration and challenge.

Although *Courage in Mission* addresses the issues of today, it has been in the making for some time. For the past 20 years I have had the privilege of viewing the college presidency from a variety of perspectives. I have seen firsthand what a difference the leader of a college can make. And I have seen how little help is available for the president who hungers for guidance and direction. Each of these experiences has contributed to the convictions that have shaped *Courage in Mission*.

The central conviction is that independent colleges, particularly church-related ones, need strong leadership if they are to survive. They need as presidents men and women who know where they are going; they need men and women of purpose, courage, and vision. They need spiritual directors.

The spiritual director is not a preacher or chaplain, a Bible teacher, or a gentle pastor. He or she is not an evangelist out to convert the world or a mystic with supernatural powers. A spiritual director of the caliber needed in the presidency today is much more than any of these.

The spiritual director must be a visionary and a student, a bold dreamer and a practical team builder. He or she must also be an inspired teacher, a perceptive counselor, and a persuasive salesperson. Such a spiritual director leads the college forward in many ways.

First, the spiritual director takes responsibility for developing a vision for the college and accepts the role of leader in bringing the vision to reality. He or she is not merely a manager who struggles to keep the current enterprise afloat. The president must be aware of his or her own strengths and weaknesses and recognize the need for personal growth and development. To address this need, the president provides opportunity for personal renewal and growth, not only for himself or herself but for others within the college.

The president cannot be an effective spiritual director without this self-understanding. From this position of self-understanding, the spiritual director can inspire members of the college community to rise above the mundane and capture a higher vision.

In order to achieve this new vision, the college community must adopt a new attitude toward adversity: It must come to believe that there is opportunity within every difficult situation. The president works hard to create this new attitude—

teaching, shaping, and influencing the community. The president cannot do this alone. He or she must build a team of committed workers—a team founded on trust, affection, and loyalty; a team diverse in skills and perceptions but unified in vision and mission.

As the community works toward achieving renewal of the college, the president as spiritual director keeps the challenge fresh and the team active. He or she can then lead the college to undreamed of heights. And if this sounds impossible, bear in mind that many of the great colleges in this country were shaped by men and women who provided just this kind of leadership.

The historical precedent: Four great leaders

In the late 19th century, William Rainey Harper held an enviable position in higher education. A nationally renowned teacher of Hebrew at Yale, he had been given a free hand to reshape the language department and an endowment of $2 million to do it. But Harper envisioned a new kind of university in the Midwest, one dedicated to research and theoretical learning. With his great persuasive powers, he convinced John D. Rockefeller of the need. Rockefeller gave $600,000, the City of Chicago gave $400,000, and the University of Chicago, heretofore a small Baptist college, was reborn. Before Harper's early death at the age of 49, Rockefeller gave more than $80 million to make Harper's vision for the university come true.

Mary McLeod Bethune, one of the founders of Bethune-Cookman College, was the fourteenth child of a sharecropper. She was one of the very few black children in her region to go to high school, and, thanks to a scholarship, she was the only one to go to college. A few years later, in St. Augustine, Florida, with $1.50 and lots of courage, faith, and hope, she began the school that would become Bethune-Cookman.

In North Carolina, John Kilgo and William Preston Few led Trinity College as it forged a regional reputation for rigorous academics, freedom of intellectual thought, and individual development of both men and women. Under Few's leadership, Trinity eventually became Duke University, a major institution noted for its pioneering work in new disciplines, the quality of its research facilities, and the size of its endowment. Kilgo and Few had very different styles of leadership—Kilgo was aggressive, outspoken, able in oratory; Few was quiet, scholarly, self-effacing, and adept at working behind the scenes—but both were deeply and actively committed to building an institution with high academic standards, a commitment to academic freedom, and a strong emphasis on a Christian education that was not narrowly sectarian.

These presidents were leaders of courage and determination. Caught up in a cause greater than the individual, each envisioned for his or her institution a particular mission and each worked against great odds to achieve that reality.

The success of these and other early leaders of independent higher education was not due solely—or even primarily—to the nature of the times in which they lived. Of course, timing is almost always crucial to success, but the man or wom-

an in the right place at the right time will falter and fail unless he or she also possesses personal qualities of leadership. A spiritual director such as this book advocates must have the courage to fulfill the mission and the vision to seize the opportunity. The present-day state of church-related and independent colleges cries out for dynamic leaders.

Qualities of a spiritual leader

What are the qualities that make an effective spiritual director? First, self-understanding and self-discipline are imperative. A person with self-understanding not only accepts his or her strengths and weaknesses, but also accepts himself or herself as a person of worth who is constantly in a state of growth and change. Self-understanding enables a leader to dare to dream big dreams, to plan with care, and to carry out the plan.

A leader with self-discipline takes responsibility for actions and progress. He or she says no to temptation and turns down requests and opportunities that are not in keeping with the institution's mission. A leader with self-discipline not only takes the time to learn and to listen but also finds the solitude to engage in the study and meditation that renew vision and enthusiasm. This isn't easy for presidents because it is American custom that leaders always look busy; it is not "the American way" to be found in contemplation or study.

Self-understanding and self-discipline undergird the president as he or she takes on the difficult task of creating a vision for the future of the college. In most independent colleges, presidents are bombarded with problems almost from the day of appointment. Unlike many of their predecessors, they do not have the luxury of time in which to observe and to learn the presidency. They must hit the ground running and somehow find the time and energy to build a vision that will provide the framework on which a team of associates will build the dream. This vision will affect the way the president walks, talks, and thinks. It will provide a degree of security in a world of change.

So important is this vision and so short the time for its creation that a newly appointed president must come to the job with a very good idea of what must be accomplished.

He or she must have the conviction that there is opportunity in adversity, that problems are not just hurdles to be got over but opportunities for growth and revitalization. As spiritual director, the president must inspire others with this conviction as well. The president who is only a manager will never see opportunity in adversity because he or she is too occupied with administrative matters to grasp the larger possibilities. For example, we might never have enjoyed an ice-cream cone if a souvenir salesman named Abe Doumar had not overheard an ice-cream vendor at the 1904 St. Louis World's Fair bemoaning his loss of business because he had run out of plates. Doumar thought this over and said, "Why not make five cents more and sell it out of a rolled-up waffle?" Similarly, some well-known curriculum innovations—such as the Great Books curriculum and the 4-1-4 plan with

a month's intensive study of a single topic—were instituted, at least in part, to deal with the problem of underenrollment.

Arthur Levine, president of Bradford College, has pointed out that hard times have produced some of higher education's most celebrated programs. The 1840s and 1850s, a time like ours of declining enrollments and diminishing resources, saw the establishment of "bold and excellent new programs that made the names of institutions as varied as Brown, Michigan, and Union."[1] Such programs are the result of vision, not retrenchment.

The president as spiritual director must articulate this vision for the college and inspire others to work for its fulfillment. But just what is this vision? The dictionary defines vision as "something supposedly seen by other than normal sight; something perceived in a dream, trance, etc., or supernaturally revealed, as to a prophet." It hardly sounds appropriate as a vehicle for college leadership. But vision also means "unusual discernment or foresight." A true visionary is an instrument or voice for something greater than the self. Our independent colleges cry out for men and women who see beyond their own image and provide a unifying "cause" for the college community.

The president who would fulfill this role must let the castle-builder within create a dream that will inspire performance beyond the ordinary, beyond the limitations of the individual. Watson did this when he created a dream for IBM that produced today's giant of the computer industry. J.P. Morgan did it when he created a vision that was to unite several struggling, depressed steel mills into the U.S. Steel Company. This new company provided higher quality steel for considerably less money and led the United States boldly into the modern industrial revolution. William Rainey Harper did it with his vision of the University of Chicago.

The role of the president as visionary, however, must be balanced by that of teacher and team builder. The leaders cited above not only dreamed grandly, but they also persuaded others of the greatness of the dream. A true spiritual director will readily accept responsibility to inspire students, faculty, and fellow administrators to action. He or she will give them hope for the future by creating a higher purpose for their lives. And that purpose does not come from conventional logical thinking but from the higher part of the mind, that part that moves people to perform beyond the ordinary. The spiritual director dares to upset the expected, to champion the new idea, and to take great risks for the sake of his or her vision.

In doing so, the president teaches first by personal example. Indeed, visibility automatically makes the president a symbol of the college. A spiritual director understands that fact and uses it to advance the mission of the college. By practice as well as by precept, a president inspires others to grow as scholars, as people of character, as contributing members of the college and society.

When the president shows a genuine concern for the other people in the college community, they will respond with support for the college. A president shows concern best through active involvement in the professional, community, and even personal activities they value. This means taking time to get to know faculty and administrators as individuals. Meeting one person for an informal breakfast or even just a cup of coffee in the afternoon can give the president time to learn the spe-

cial interests, skills, and insights of that member of the team.

A president builds trust first of all by being trustworthy. Team members will be willing to "go the second mile" for such a leader.

A president teaches by speaking out on timely issues and reiterating and reinforcing the values of the college or the community. As spiritual director, the president should follow Teddy Roosevelt's advice and seize every opportunity to use his or her position as "a bully pulpit."

A president who teaches and inspires by example and word, who values and calls forth the best in others, is building a championship team. To achieve the mission of the college, he or she needs a team of dedicated individuals—trustees, faculty, administrators, and students. Not only does the team work to carry out the tasks and projects that will make the dream reality, but the members of the team function as "filters" through which the president gathers information. The administrative colleagues, the faculty, and the students with whom a president chooses to associate affect his or her perception of the college.

One of the president's most important tasks is to choose the right people. A spiritual director strives to bring out the potential in every colleague, but he or she must also be firm in placing the best people in vital jobs. In this way, the president strives to create the most dynamic and responsible team possible. At the same time, he or she must expect—and learn to deal with—a certain amount of criticism and pessimism.

Who can fulfill this triple role of visionary, teacher, and team builder? Surely to aspire to it is to court hubris and to quest after demagoguery. The last thing a struggling college needs is a tin saint at its head. That is why our discussion of the qualities of a spiritual director ends as it began—with a consideration of the need for self-understanding and personal growth.

Even the most gifted among us are limited and flawed. But when we are able to see beyond ourselves and be open to new possibilities, we can achieve beyond our expectations. It's not easy to reach this higher plane, however; in order to do it, we must continue to grow and to practice the things that will help us grow.

A president who is not inspired cannot inspire others. Renewal and growth come from study and meditation. While it's not easy to find the time for study and meditation, it's imperative that the president do this. What should he or she study? This will vary from individual to individual, but many effective leaders have found growth and renewed energy and vision from study of the masters in literature, the arts, education, history, and philosophy, and, particularly, from study of the Bible.

A president who would be a spiritual director must know the traits of leadership and work to develop them in his or her character. Two of the most important are probably mystery and charisma. In this context, mystery means being unpredictable. A president cannot continue to inspire the team with the same old story. His or her insights and activities must remain fresh. Too much predictability produces an atmosphere of familiarity, comfort, and security. Remember that buddies do not inspire teams as much as leaders do. The president must maintain a certain distance, a certain elevation, a certain mystery to enhance the leadership role he or she plays.

Charisma is harder to define; we might call it that quality or group of qualities that attract and fascinate other people. How much charisma a college president should have is debatable, but charisma is important in the ability to inspire others to action. Many people believe charisma is a quality you either have or you don't but, in fact, charisma results when a person is vitally interested in others and is, himself or herself, interesting. Anyone can develop charisma by taking the time and effort to grow. So we see that both mystery and charisma are products of taking time for study and thought.

Finally, a president must work to provide his or her colleagues with the time and the opportunity for growth. It is as important for them as it is for the president.

Our independent and church-related colleges need spiritual directors, not mere managers, to lead them through the current period of crisis into new achievement. Making the commitment to become such a spiritual director may not be easy, but once it is made, and once long-term and short-term goals for personal and institutional growth are made, the dynamic president leads the college boldly into the 21st century. Can there be a more rewarding mission than preparing young men and women to live in that new age?

Courage in Mission

Presidents of independent and church-related colleges are faced with the most formidable of expectations—their own, as well as those of trustees, faculty, staff, and students. They continually seek new tools and resources to help do the job. Though there are many studies of leadership available, few address specifically the church-related college and even fewer are written about or from the president's point of view. *Courage in Mission* answers this need.

The authors of the essays in this book are themselves successful presidents or presidents emeriti of church-related colleges. They are the dynamic and forceful leaders that today's independent colleges so desperately need. Each, in difficult times, demonstrated courage in his or her mission. Within a structure that focuses on the goals and mission of the church-related college, they offer their personal insight and wisdom.

As editor, I have attempted to set forth the central concept of the book: The primary role of the president of a church-related college is that of spiritual director. The president must create and champion a vision for the college and through his or her leadership enable the college to live up to its potential.

A clear vision of the role and mission of the college is crucial to the president's ability to be an effective leader. The first task of the spiritual director is to articulate a clear statement of the college's mission and its relationship to its supporting bodies. John Moseley, president emeritus of Austin College in Sherman, Texas, addresses this issue in the following essay, "The President and the Role and Mission of the College." Dr. Moseley is an authority in the field, particularly in the area of strengthening the role and mission of the church-related college in its relationship to its denomination. He developed the pioneering "covenant agreement" between

Austin College and the Presbyterian Church, which became the foundation for later work in the field, including the establishment of the Center for Program and Institutional Renewal at Austin. In his essay, Dr. Moseley recognizes that each college has unique attributes that must be expressed in a mission statement; he offers clear goals and practical guidelines for developing mission and covenant statements.

Once a clear sense of vision and mission has been achieved, a president must look for opportunity in adversity. *Courage in Mission* includes essays by the presidents of two colleges that at one time seemed to face a bleak future. Both colleges had a clear sense of role and mission, but the paths they took to economic health and academic excellence were very different.

In 1976 when Neal Berte became president of Birmingham-Southern College in Alabama, the college was struggling under the multiple burdens of declining enrollment, inadequate finances, confused leadership, and eroding reputation. Like other liberal arts institutions, Birmingham-Southern faced enormous pressures to submerge its traditional liberal education in a new emphasis on career training. Failure to do so seemed to promise extinction. In response to this threat, Birmingham-Southern reaffirmed its commitment to the liberal arts. Today, many authorities rate it one of the best small colleges in America.

In his essay, "The Triumph of the Liberal Arts in a Changing Environment: The Birmingham-Southern Experience," Dr. Berte discusses this renewal and the many achievements vital to it, with particular insight into the role of presidential leadership.

In Winooski, Vermont, St. Michael's College also faced decline. Its traditional pool of urban Catholic students was attracted by the lower tuitions and more convenient locations of state-supported institutions. Denominational support had eroded. The choices seemed to be to increase enrollment or lower tuition or both. Instead, going counter to most studies and advice, St. Michael's, under the presidential leadership of Edward Henry, decided to build a highly competitive program that offered a rigorous education for relatively high tuition. The college leaders and supporters decided that quality *could* be sold.

Today St. Michael's has a stable enrollment, a balanced budget, and a national reputation. Now president of Marian College in Wisconsin, Dr. Henry discusses this achievement and the role of presidential leadership in "The President and Institutional Advancement: The Story of St. Michael's College."

As these essays on Birmingham-Southern and St. Michael's suggest, there are many practical aspects to carrying out the vision of a college. Often these practical matters require more "courage in mission" than dreaming the dream in the first place. The next essays address various aspects of these tasks.

In "The Independent College and University President as Educational Leader," Jerald Walker, president of Oklahoma City University, examines the president's responsibility to provide educational leadership in all areas of college responsibility, such as governance, administration, curriculum, admissions, and financial development. In seven years under his leadership, Oklahoma City University has gone from a state of financial exigency to one of sustained growth and achievement. Endowment has quadrupled and enrollment has risen over 27 percent.

Louis Vaccaro, president of the College of St. Rose in Albany, New York, is a noted authority on long-range planning for small, independent colleges and has published widely in the field. "The President and Planning: Management and Vision" offers practical insights into planning and the president's leadership role in planning for the church-related college. Dr. Vaccaro's extensive experience (he has held three other college presidencies) gives force to his discussion of the stages and goals of planning, the need for accountability, and the preparation for expected change.

Catherine Dunn, BVM, calls for an unusual degree of commitment and participation from trustees. One hundred and eleven days after her appointment as president of Clarke College in Iowa, four of the college's 10 buildings were destroyed by fire. Faced with the need to build fast relationships with her trustees, she turned to the Association of Governing Boards of Universities and Colleges for assistance in education and training. Three years later, debt-free buildings replaced the burned structures and trustees functioned as active partners with primary committees meeting monthly. In "Building an Effective Board of Trustees," Sister Catherine shares her insights on building relationships and recruiting effective trustees.

As they plan for advancement, most colleges place the greatest emphasis on the academic. In his essay, "The President and the College Community: Student Services—The Second Curriculum," Keith Briscoe, president of Buena Vista College in Storm Lake, Iowa, argues that experiences outside the classroom are just as important for student growth and ought to be just as carefully planned. His essay provides a primer for presidents who want to improve this aspect of their institutions. Throughout his career, Dr. Briscoe has worked in the field of student affairs and has published on the subject.

In many ways, faculty and staff—personnel—*are* the college because it is they who bear the primary responsibility for carrying out the mission of the college in their specific fields and tasks. The "church-relatedness" of many independent colleges adds an extra dimension to what is already an important aspect of the president's job. David Le Shana, president of Seattle Pacific University in Washington, discusses why the commitment of personnel to college purpose is important to all aspects of institutional success and integrity. In his essay, "Building a Team in a Christian College," Dr. Le Shana gives practical guidelines for presidential leadership in this area.

Just as church-relatedness can affect personnel matters, it also affects the relationship of the college to the state and federal governments. In the beginning of American higher education, churches led the way in establishing and maintaining the first colleges. For several hundred years, church-supported higher education remained dominant; then state-supported education took the lead. This fact has complicated the life of church-related institutions in several ways. Not only have they been attracting fewer students, but state support for education has raised many issues related to separation of church and state. Church-related colleges must deal with governmental requirements in many areas, including contractual agreements, student aid, research grants, and other legislative matters. How can they balance the various requirements?

A lawyer as well as president of Huntington College in Indiana, Eugene Habecker

has written extensively on the various aspects of the relationship of a church-related college to federal and state government. In "Laws, Lawyers, and Legislation: Triple Threats to Visionary Presidential Leadership," Dr. Habecker offers guidelines and resources useful to a president trying to get a grip on these complex issues.

As Robert Brown points out in the opening of his essay, "The Presidential Role in Financial Development," one of any search committee's most important criteria for a president is the ability to attract gift dollars. Although no president is like another and none has exactly the same talents and weaknesses as another, all need certain qualities, understandings, and skills if they are to succeed in the important area of financial development. Dr. Brown has been president of Culver-Stockton College in Canton, Missouri, since 1978 and previously served as vice president for development at Adrian College in Michigan. Enrollment has more than doubled and endowment has greatly increased since Dr. Brown assumed the presidency at Culver-Stockton.

The final requirement proposed for the development of a spiritual director is time for study and self-renewal. In the concluding essay of this book, "Professional Renewal for the College President," Dan West, president of Arkansas College in Batesville, examines the requirements for renewal at all stages of a presidential career. A man who practices what he preaches, Dr. West has found renewal in study and a sabbatical. He has published widely on many aspects of administration in the independent college. His essay gives practical advice that reinforces the focus of *Courage in Mission*.

Note

[1] Janice Green et al. *Opportunity in Adversity* (San Francisco: Jossey-Bass, 1985), p. xi.

Selected Resources

Benezet, Louis T. "Do Presidents Make a Difference?" *Educational Record*, Fall 1982, p. 11.

Fisher, James L. *Power of the Presidency*. New York: American Council on Education/Macmillan, 1984.

Fisher, James L. "Presidents Will Lead—If We Let Them." *AGB Reports*, July/August 1984, p. 11.

Gardner, John W. "Pursuing Leadership: All Levels, All Types." *AGB Reports*, January/February 1985, p. 39.

Green, Janice S., et al. *Opportunity in Adversity*. San Francisco: Jossey-Bass, 1985.

Herbst, Jurgen. *From Crisis to Crisis, American College Government 1636-1819*. Cambridge, MA: Harvard University Press, 1982.

Jacobson, Robert L. "Strains of the Job Limit Presidents' Role, Panel Says: Colleges seen suffering from lack of leadership." *The Chronicle of Higher Education,* September 26, 1984, p. 1.

Kauffman, Joseph F. *At the Pleasure of the Board: The Service of the College and University President.* Washington, DC: American Council on Education, 1980.

Keller, George. *Academic Strategy: The Management Revolution in American Higher Education.* Baltimore: Johns Hopkins University Press, 1983.

Kerr, Clark. "Crisis in Leadership." *AGB Reports,* July/August 1982, p. 4.

Mahn, Robert E. "Today's President." *College and University;* Spring 1981, p. 227.

Mayer, Milton S. *William Rainey Harper.* Chicago: University of Chicago Magazine, 1941.

McGrath, Earl J. "Relating Faith and Learning." *Proceedings,* Meeting of Presidents of Independent Colleges, Scottsdale, Arizona, 1983, p. 24.

Peck, Robert D. "The Entrepreneurial College Presidency." *Educational Record,* Winter 1983, p. 18.

Pfnister, Allan O. "The Role of the Liberal Arts College: A Historical Overview of the Debates." *Journal of Higher Education,* March/April 1984, p. 145.

Storr, Richard J. *Harper's University: The Beginnings.* Chicago: University of Chicago Press, 1966.

Watson, Thomas J., Jr. *Business and Its Beliefs: The Ideas that Helped Build IBM.* New York: McGraw-Hill, 1963.

Whetten, David A. "Effective Administrators: Good Management on the College Campus." *Change,* November/December 1984, p. 39.

Section 2

Articulating the Mission

John D. Moseley

John D. Moseley, president emeritus of Austin College in Sherman, Texas, is uniquely qualified to discuss the importance of the role and mission of the church-related college and its relationship to its denomination. The pioneering Covenant Agreement between Austin College and the Presbyterian Church, which he developed, became the model for similar agreements for other institutions and denominations and the foundation for later work in the field.

Dr. Moseley served as the executive director of the National Congress on Church-Related Colleges and Universities, which met during 1978-1980 and produced the most comprehensive work to date in the areas addressed in this essay.

Dr. Moseley received the B.S. degree from East Texas State University and an M.A. and Doctor of Jurisprudence from the University of Texas at Austin. He served as president of Austin College for 25 years and chancellor for three. He is currently an independent consultant in education and business. His many positions of leadership in higher education include chair of the Association of American Colleges and member of the boards of directors of the American Council on Education and the National Association of Independent Colleges and Universities.

Chapter 2

The President and the Role and Mission of the College

John D. Moseley
President Emeritus
Austin College

We have already identified the role of the college president as that of both leader and spiritual director. Before we go on to consider how the president exerts his or her leadership in helping the college achieve its mission, we need to understand the context in which the college operates, how that context affects the college's role and mission, and the role of presidential leadership in renewing that mission.

I. Renewal of Mission in the New Context

It is easy to base assumptions about the nature of a college and the conditions surrounding it on one's own experience and the history of colleges and of education itself. But such assumptions and expectations, when held by parents, alumni, trustees, church, and even faculty and staff, cause problems when they conflict with the realities of today. Many fundamental changes have taken place—and continue to take place—in our society, changes that present us with a *new context* for the college operation. Let's examine some of the most important changes briefly.

The new context in which the college is to function

We are living at an ever-increasing pace of change in a society that is in transition from an industrial to an information and service-based economy. This change is made possible by the success of the industrial society, with specialization, research,

communication, and travel that have transformed the world into an interrelated and interdependent global community. Our society is increasingly under pressure from pluralistic and individualistic forces. People are demanding more participation in decisions that affect their lives. This is in sharp contrast to the common values of the early pioneers who were concerned with religious freedom and work ethics and who, as early as the Mayflower Compact, recognized that a community of interest was necessary for survival. The values of these pioneers are a part of our historical development and were for many years shared by most of the people of our communities.

More than we realize, the way we react to this transition is bringing fundamental changes to our systems of government, economics and finance, business and industry, health care, justice, and international debt and trade. And these changes affect local communities, families, and individuals more than ever before, as they cause dislocation, divorce, and job and career changes, often with substantial cost in personal suffering and tragedy. At the same time, the future continues to hold much promise and opportunity. Although it's not clear what the future will be like, it is clear that it will be different in ways we do not yet understand.

All this raises crucial questions for the president and for the college as they seek to prepare students for life in the 21st century. The role of the college and its mission statement must reflect the new context that this fundamental change brings.

Another fundamental change is taking place in the system of American higher education. The church colleges established higher education in America and carried the entire load in the early years. Then, in the 1860s, the Morrill Act made possible the land-grant colleges; the establishment of these colleges marked the beginning of the transition from the traditional classical studies to the more practical curriculum in agriculture and mechanics and to the education required for an industrial society.

In the 1940s and 1950s, the GI bill enabled many young people, who otherwise could not have afforded it, to enter college. The launching of Sputnik by the Soviet Union in 1957 caused a push for research and space programs. The government became involved in educational loans and building programs. And community colleges sprang up everywhere. In 1965, President Lyndon Johnson announced that the federal government would underwrite a Universal Post-Secondary Education Program.

All of these developments have caused an overwhelming growth in students now in the higher education system: A total enrollment of 2.5 million students in 1950 grew to 12.5 million in the 1980s. At the same time that numbers were increasing, so were expectations. Educational institutions have always been agents of socialization as they transmitted standards of social and ethical conduct. This function expanded dramatically. In the 1950s it began to be the legal responsibility of schools and colleges to play a special role in desegregation, civil rights, and equal employment. These programs brought new responsibilities and problems of socialization, often without regard to the cost and impact on education and on learning.

Because many students could not meet former academic standards, more remedial education was needed, always with insufficient funds. Furthermore, pressures on the institutions to demonstrate nondiscrimination often led to lower standards and grade inflation. These societal forces have confused the purpose and mission of American higher education and at times have brought specific goals into direct conflict.

At the same time, the growth in funded research has resulted in a dramatic explosion of knowledge with further division of academic areas and multiplication of courses. New highly specialized professional careers have developed, and these, in turn, have required changes in many graduate research programs as well as in professional schools. Since research problems are often not confined to a single discipline, team research, research centers, and institutes have emerged to deal with the expanding interdisciplinary problems.

As academic and professional disciplines have multiplied, open admissions and government policies supporting universal postsecondary education have brought many students into college who will not be going into traditional graduate and professional programs. But except for the community colleges, most colleges still focus their programs on that traditional academic goal.

In such a context of both pluralism and specialization, there is more need than ever before for the liberal arts and interdisciplinary perspective. The church-related liberal arts college faces a unique opportunity to claim its academic heritage of liberal arts and to emphasize its particular values of learning and of community.

The basic tools of learning may remain the same, but today's realities raise questions about the very nature of the educational task. If we cannot learn it all, then what should we learn? How are we to deal with all of the available knowledge?

Church colleges are in a singular position, given their potential flexibility and freedom to ask fundamental questions, to innovate, and to provide leadership for the higher education of the future. But before they can do this, each college must understand and articulate its mission. Furthermore, many colleges may need to go through the renewal process as they reexamine both their mission statements and their operations within this new context.

The president's institutional and holistic perspective

The president is inevitably the symbolic head of the institution, and he or she must give leadership in the renewal of the mission statement to meet the changing educational needs of society. In order to provide this crucial leadership, the president must understand the institutional nature and character of the college: how the college fits together as a whole operation, which equals more than the sum of its parts and has a tradition and a life of its own.

The president also needs to understand the changed role of today's college president. Varied and serious expectations add up to an almost impossible job: No one administrator can know it all; no one person can be in all the required places at the same time. Professor Warren Bennis of the University of Southern California

makes the distinction between leadership as "doing the right thing" and management as "doing the thing right."[1] The college president strives to do both. The only way he or she can hope to get the right jobs done the right way is by having some very capable assistance. Coordination of both leadership decisions and management tasks is also essential.

It may be helpful to distinguish between the person of the president and the "Office of the President." The latter would include many of the functions and resources expected of presidential leadership and management but beyond the capacity of a single individual. This "office" concept could relieve some personal pressure on the president and provide a framework to build a team for leadership and management.

The president needs to understand the history of the college, its original concept and constituency, its heritage, and the changes and development over the years. Without this understanding, he or she may run afoul of special problems as well as key individuals who have a great investment in the college's past. The president must also have a realistic appraisal of the college's role today as it relates to its values and mission.

Beyond the need for this institutional perspective, there are two other problems. One is the recognition that the president is the focal point of *all* the special interest pleading and complaints from within the institution. He or she is also the focal point of the outside forces of the alumni, community, and special educational interests; all of these forces must be brought together in a total and balanced institutional operation.

The second problem involves the new context, the vision and commitment that the president brings to the task of providing educational leadership. Today that requires a holistic perspective that is global and future-oriented. There was never a time when such a perspective was more needed in a church-related college.

By a holistic perspective I mean more than seeing the global problems and interdependencies of our changing society. A holistic perspective is one that takes into account the interrelatedness of specialization, pluralism, and individuality that is societal. Moreover, it relates the development of the educational system, specialization, and the expansion of knowledge to the continuing changes of society with its educational needs. All this has implications for both an individual's educational development and the operation of the college. A president's holistic perspective is needed to provide educational leadership and to find ways that will challenge the faculty and students to creative thought and action in realistically facing the world of the 21st century.

The college president's leadership vision of the future should include a provision for continuing renewal. He or she must recognize how quickly our world is changing and how great the impact is on our society, our institutions, and ourselves. In this context, renewal must be all-inclusive and constant; it must be for individuals as well as for institutions. The president's perspective must include his or her own dreams for the college, as well as realistic and specific options for the years ahead. As the process of renewal develops, it must be appropriately shared with the college community in order to challenge others on behalf of the college.

In preparation for a renewal of the mission statement

Many college presidents will be impatient to get on with developing the specific contents of a mission statement, but it may be that the preparation for such an undertaking determines more of its quality and success than the actual process of writing the statement.

Let's start with some definitions to clarify the confusion of nomenclature that surrounds the mission concept. Over the past 50 years, the industrial society and its mode of thinking have developed "management" as a discipline. This development has been incremental. After many phases and fads from earlier scientific management, management has espoused many different approaches—from personnel and human relations, performance, "zero type" budgets, program planning, and management by objectives, to the more recent strategic planning and computer modeling. Through all of this, words such as "role," "scope," "goals," "objectives," "priorities," and "strategies" have been used in connection with all types of mission statements. The word of today is the "culture" of the organization or business with great emphasis on purpose and mission and the total view.

While these terms and concepts are useful to overall management of an institution, they may at times be confusing. For example, "goals" and "objectives" are frequently used interchangeably to mean either broad or specific statements.

For our purpose, we will separate these terms to distinguish the general mission statement from the more specific actions of implementation. We will use Mission, Role, and Scope (MRAS) to refer to the basic mission statement, the first or fundamental level of policy documentation. Mission is the institution's purpose, role is its function (what the institution does), and scope is the parameters (how much the institution does).

The second level is based on the MRAS; GOPS (Goals, Objectives, Priorities, and Strategies) defines in more specific terms the goals or broader qualitative guidelines for carrying out the mission. Objectives are still more specific tasks to be accomplished in order to achieve the goals. Priorities establish ranking of importance for goals and objectives. Strategies include both scheduling and a total plan of action with assignments and monitoring. Thus, the second level is a much broader involvement of the details of programmatic and operational phases of the college. This level provides for an integrated view of the total college operation.

It is very important that the college president make this distinction between MRAS and GOPS in the preparation of the mission statement. The first statement (MRAS) must be completed, at least as a working document, before the GOPS can be defined properly and related to the mission statement. In doing a major college study, we could think of MRAS as Part One and GOPS as Part Two, the college mission statement and the college operation or strategic plans, respectively. It's important that the college mission statement process not get so involved in Part Two, the GOPS that tend to be more active (doing the thing right), that Part One with its basic direction (doing the right things) is neglected.

Definition of the mission statement as a document

We need to understand the importance of the mission statement as a document. In light of the changing conditions in higher education and in the educational needs of the college constituency, the redefinition of the college's mission statement may well be one of the most important items on the agenda. The mission statement is not just a statement in the college catalog. Its nature and purpose and the process by which it was developed determine both the direction of the college and how it will get there.

The mission statement clarifies—both for internal and for external audiences—the role of the college, the context in which it operates, and its freedom to be its distinctive self. It serves as a basis for decision making, for planning, for assistance in the integration and operation of the total institution. It can be a benchmark against which to evaluate the college's success in carrying out its mission. It is a way to measure what the college is and does against what it claims to be and do.

The mission statement can be especially useful to the church-related college as it helps demonstrate the difference between the mission of the church and the mission of the college. It is also a significant factor in developing a covenant or relationship document between the church and the college.

Probably most important is the possibility that the process by which the mission statement is developed can be the means to draw all parts of the college and its constituencies closer to the college, to facilitate their understanding of the college, and to strengthen their commitment to the college. It can become the basis and design for communication, service, and support among faculty, students, staff, and constituency.

Responsibility for renewal of mission statement

Although most colleges have an official mission statement, it may not be fulfilling the potential described above. It may not have been updated to face the new context, internal developments, changes in the constituency, or the reality of competition. Or if it has been updated, this may be the result of a crisis or the arrival of a new president rather than a regular planned review and renewal.

The continuing responsibility for seeing that the college is functioning with a vital and relevant mission statement rests with the board of trustees. The board should therefore establish a method for a systematic and periodic review of the MRAS. This might be accomplished through a periodic review of the church relation as a coordinated activity. (This is discussed below.) Reviewing the GOPS could provide a more frequent review. Some of the GOPS may be reviewed annually in connection with the budget process, and some may be reviewed on a longer cycle, but the review should always measure progress against the MRAS.

There are other reasons to have a special review of MRAS (and possibly GOPS), such as accreditation self-studies, the advent of a new administration, financial crises, student enrollment concerns, faculty and staff retrenchment, and so on.

Before the college undertakes such a review, the board should evaluate each situation as to its urgency, the adequacy of preparation of the entire college (faculty, students, administration, constituency), and the timing. The board should also consider how the renewed statement will be used, what audience will be addressed, and who should be involved in the process.

Still another major consideration is the amount of time and effort required of the faculty, staff, officers, trustees, constituents, and other groups. The scope of the review, its financial cost, and its possible interference with the regular college program should all affect the board's decision.

Within the college a major question is, "Who decides who decides what?" The trustees ordinarily have total responsibility for the corporation, its structure, the delegations and assignments they make. But as the college begins to review its mission statement, it's important to be certain that the entire college—students, faculty, alumni, and all other constituencies—is very clear about where and how the decisions are to be made.

As work begins on the mission statement, those responsible must decide whether to use regular policy organizations and procedures of the college or to establish a special task force or committee. There are advantages and disadvantages to each choice. The regular policy organization already understands and is familiar with the present structure and procedures, but it may have vested interests. A special task force is more flexible; the best qualified people can be asked to serve on it; and a broader representation (trustees, administration, faculty, students, alumni, etc.) can be obtained. But task force members will be new to the assignment and will need to be briefed on their role and procedures to follow. In either case, it must be clear from the start who has the ultimate responsibility for decisions.

If you decide to use an existing organization, don't infer from the descriptive and procedural language above that the review or revision of a mission statement is a routine matter. On the contrary, it is like writing a new constitution or a charter for an institution. It should be done neither casually nor too often, but only when circumstances indicate the need for clarification or change. Review and revision of the GOPS, however, should be on a regular systematic basis.

Outline of a mission statement

The mission statement is not meant to be a general, idealistic expression but a basic working document, a type of constitution for the college. It should contain all the necessary specifics to describe the college and its role. When the reviewers of the mission statement are preparing the first draft of the new statement, they should strive for completeness. They could begin by selecting the items and material from the outline below that are appropriate to express their college's mission. They can then edit for precision in language and brevity.

The outline is expressed in terms of language. Consider it to be a suggestive checklist, not exhaustive, from which to select items appropriate to the situation and style of the college. Not all sections in the mission statement will be of equal

importance, but all must be appropriate to the mission of the college.

Language that defines the college. The language should set forth the nature of the college including its origin, its historical purpose, and its development. The language should be specific as to:

- primary purpose of the college: teaching, research, service, educational resource, training, etc.;
- subject matter: liberal arts, vocational programs, etc.;
- level of instruction: undergraduate, graduate, professional; and
- student body: primarily residential or commuter, coed or single sex, other special requirements.

Further, the college should be described as a corporate institution: nonprofit, educational, independent, church-related with tax-exempt and tax-deductible status. And it must be clear who is responsible for the operation of the college, for accountability and governance.

The mission statement should define the people the college serves and the college's role of public service in providing education for its special constituency, i.e., the church, 18- to 21-year-olds, older adults, women, men, minorities, native Americans, the disabled, etc. The statement should make clear whether the institution has a policy of open or of selective admission and if it has any educational focus of service or of counseling either to students or to the local community.

Language that communicates the basic commitment of the college. This language is especially important for the church-related college. It sets forth the college's frame of reference: the underlying values of the college's program and operation; religious concepts that are basic to the college—concepts and ideas about the nature of the world, God, and humankind in relation to God; and the global perspective with which the college goes about its task of education.

Language that communicates the educational philosophy of the college. The college's educational philosophy expresses the basic commitment of the college. It may be that descriptive language regarding liberal arts, wholeness of knowledge, value orientation, and interdisciplinary studies will help express the college's philosophical approach to subject matter. Or perhaps programs that are career-oriented and that provide practical experience through laboratory internship and apprenticeship, with the goal of vocational and professional competence, best reflect the college's educational philosophy. Still other college programs may be especially oriented to the student's personal development with goals, values, and individualized learning planned to meet this end.

The language may describe the college community—the qualitative standard, degree of openness, principles of creativity and academic freedom that are basic to the college's educational philosophy. Likewise some expression of the policy and principles on which the college operates may communicate a great deal about the nature of the college.

Language that communicates the distinctiveness of the college. One of the most important elements of the mission statement is its description of the distinctiveness of the college and how it is set apart from others. This includes special features of the college and any distinctive institutional approach or personal-

ity. For example, a college may cite its programs of international education, special services or work programs, very select student body, very open students, or religious or mission service and opportunities.

Remember that the mission statement gives the essence of what the college is about. This may be stated very simply or at least succinctly, but it should represent the complexity of the college's role in higher education, the church, and society.

A resource for church college renewal of mission and role

Probably the most inclusive cooperative effort on behalf of the church and church-related colleges was the 1978-80 National Congress on Church-Related Colleges and Universities, the plenary sessions of which were held at the University of Notre Dame in June 1979 and in Washington, D.C., in February 1980. This Congress came about through the concern of some denominational executives over the seeming lack of awareness among the American public and the church constituency of the crisis facing church-related higher education. The main purpose of the National Congress was to reaffirm the crucial role of the church-related colleges and universities and to initiate renewal and recommitment within these institutions, all to the end of strengthening their position in society.

In the process, the National Congress sought to reaffirm basic Christian commitments, to establish new bonds of unity and understanding between the institutions and their sponsoring denominations, to encourage an openness among church-related institutions of different denominations, and to foster public understanding and awareness of church-related colleges and universities and the issues they face. Finally, it was to celebrate the contribution of these institutions to the religious, social, and cultural development of the nation.

The National Congress on Church-Related Colleges and Universities represents the broadest and most extensive in-depth study by a significant number of academic, church, and lay leaders concerned with the church-related college and its role in American higher education. The Congress therefore provides the best resources for a college president who is working on the mission of the church college and its relationship to the church. The four volumes that resulted from the Congress may be found in the library of almost every church college or in the president's office. Some major university libraries also have these volumes in their reference collections, and some copies may be available through the denomination executives for higher education. Copies on microfiche can be obtained from Educational Resources Information Center (ERIC, Suite 630, One Dupont Circle, Washington, DC 20036) as documents ED 189 989 through ED 189 992 (a total of nine microfiche).

A college president concerned about MRAS as well as GOPS will be interested in the volume on affirmation, which has a section entitled "Inventory for Renewal: Questions for a Church-Related College and a College-Related Church." This inventory or checklist will help a president, a board of trustees, or the college review process to tackle questions on:

1. mission, purpose, and constituency;
2. the educational program;
3. social concerns;
4. governance;
5. legal issues;
6. public policy concerns; and
7. financial support and management.

Still another relevant volume is entitled *MISSION: A Shared Vision of Educational Purpose.* This volume on accountability deals with the church college from the standpoint of legal issues, public policy issues, and financial issues.

The work of the National Congress is a very helpful resource for any college president who is serious about the questions of mission and the church-college relation that are dealt with in Part II below.

II. The President, the Church-related College, and the Church

Before we consider the relationship between church and college, it is important to have some historical perspective. Since very early times, the church in America has provided education and scholarship. In fact, the colleges and universities established by the church in America were unique in the way they adapted European traditions to American needs. The gradual takeover by the state of the majority of higher education has brought about a different system. Over the last 50 years, changes in society and its educational needs, the growth of colleges vis-a-vis the involvement of government, and the church-state question have resulted in fundamental changes that challenge every college. This is not the place to trace the details of those changes, but we'll cover some of the major issues and some of the new ways to handle many of the resulting problems.

There are generally two different views of the church-related college.

College as church. Some churches and their colleges take the position that the college is an integral part of the church, a kind of educational and programmatic arm of the church, like a mission church or an international mission operation. In this stance, these colleges, as part and parcel of the church, can claim all the protection of the First Amendment, both the freedom provisions and the nonentanglement provisions (including the church's tax-exempt and tax-deductible status). Thus, proponents of this view have claimed, in some cases, that the college must be regarded as church and not be governed by rules and regulations that apply to other colleges and institutions. (This same argument is made by some churches that are being required to license children's homes and schools for youth.)

It also follows that certain benefits for colleges or their students—such as funds from the state or federal government—would not be available to the college that is classified as a church under the First Amendment. This would also be true under many state constitutions that are even more restrictive regarding both church and individual grants by the state. The details of some of these issues are being litigated in the courts and debated in legislative halls.

College as a public service. The other view of the church-related college holds that even though an institution is church-related, the state and the federal government recognize that certain nonprofit organizations (in this case, colleges) render specific services to the public that are for the benefit of society and that, for this reason, these organizations should be granted certain privileges. These privileges include tax exemption and tax-deductible status (a kind of indirect financial support), as well as eligibility for building loans, contracts for research, and program grants. Students at these colleges are then eligible to receive financial aid if certain need and other standards are met.

Proponents of this view hold that the college deserves these benefits, as long as it meets the necessary legal requirements, because it renders public service for the benefit of society. In some states, special procedures and limitations were required because of specific prohibitions against the use of state funds for private or religious purposes; in other cases constitutional amendments were required.

While these two points of view appear to be quite different, the actual situation is far more complicated, and the distinction between the two views is not as clear as it might seem. Adherents to one view may share concerns of the other; further, there are many subtleties within each of the two positions.

There is still another concept to muddy the waters further: Many denominations do not distinguish between the educational program and activities of the church, on the one hand, and the program and institutional activities of the college on the other. By tradition and practice, the church has grouped all educational activities together at the various levels of church structure. This means including as church educational activities such different functions as Christian education in the nursery and for children, youth, and different adult groups; curriculum; methodology; and publications; as well as student and faculty programs on public college campuses, chaplains, and faculty fellowship. Also included are the church colleges themselves, which are quite different in their nature and in their institutional organization and are not comparable programmatically.

These differences are becoming increasingly significant. Educational accreditation, state and other governmental requirements, use of denominational name and access to its constituency, problems of financial crisis and ascending legal liabilities (moving from the college to the church)—all require a clear distinction between the church's programmatic and the college's institutional roles.

In all this confusion, we ought to keep two important points in mind: The church-related colleges not only provide a significant educational resource *to* the church; they also serve as one of the most important contributions *of* the church to our society by providing an alternative to the increasing danger of a state monopoly in higher education.

Although the college must be dealt with as an institution with clearly defined responsibilities, it isn't necessary to adhere rigidly to one or the other of the two views of the church college presented above. There is a middle ground when there is careful understanding of the role of the church, on the one hand, as a separate entity and the college, on the other hand, as a separate institutional legal entity. Between the two, a strong, cooperative, mutual commitment to goals, objectives,

programs, and operations can be developed. Over the past quarter of a century, many churches and colleges have succeeded in creating this kind of new relationship, which is called a covenant relationship.

Background and perspective of the covenant

Thus, the essential concerns of the first and second views of the church college can be at least partly reconciled in a third and middle position—the covenant relationship. The covenant relationship takes into account the background and perspective of the mutual commitment between the church and the institution, and it preserves the historic role of a college closely linked to the church but with enough independence to serve the public purpose of education for its distinctive constituency.

The first covenant was approved in 1962 to clarify the responsibility of a denomination's governing body and one of its institutions regarding certain policy and financial matters and to deal with new and changing situations that affected both. The covenant was necessary to define and to carry out the respective missions of college and denomination. The changing conditions and the pressures that made the first covenant necessary have not only continued but they have increased—for both church and college.

Many of these problems are legal ones having to do with governmental regulations and standards, discrimination in operation and employment, potential pass-through of liabilities, problems with the use of the church's name, and various financial issues. With the great influx of students after World War II and the increased interest in higher education generally, the legal status of church colleges and their eligibility for government programs and funds became a real concern.

These potential government relationships went counter to many traditional concepts of the independence of the college and its relationship to the church. The earlier idea that the church actually "owned and operated" the college—an idea that some church individuals would like to believe today—became a kind of legal fiction, as it became clear that the board of trustees was legally responsible for the college. Also, state corporate laws began requiring that the church college be a separate nonprofit corporation, and to qualify for tax-exempt and tax-deductible status, the college had to have corporate status.

In many instances, the church continues to have the residual interest or ownership; this presents no operational problem and indeed assists in preventing legal problems with earlier bequests. All of this is a part of the new context; the church and the college need to distinguish between church programs and the college's institutional role.

The covenant has proved to be increasingly effective as an intentional device for fixing responsibility for renewing the relationship and for reviewing commitments and progress toward agreed-upon goals and actions.

From the standpoint of the church, the covenant is a modern means or system for dealing with the oversight of the college. The covenant provides more effec-

tive guidance than the traditional means of electing trustees, allocating a nominal benevolence budget, and requiring an annual report.

From the standpoint of the institution, the covenant fixes responsibility on the board of trustees for the entire operation of the college program—for finance, facilities, and long-term development within the framework of the institution's mission and its commitment to Christian values.

This makes it very important that the board of trustees be properly selected as to its composition: professionally, geographic, and in terms of church and societal reputation. It is essential that each trustee has personally understood and accepted the responsibilities and made the necessary commitment, and that the trustees are assisted through internal working arrangements and training to carry out their responsibilities.

A covenant establishes the responsibilities and commitments for both the church and the institution. The covenant provides to each greater protection from the increasing legal problems and other special interest pressures than would be possible through other arrangements. It makes for a closer, more sensitive, and more responsive relationship than was true under many of the prior arrangements.

In a sense, an institution with a covenant is operating under two charters: The first is from the state with all of the responsibilities under the law. The second, from the church, grants the relationship, the use of the denominational name with certain privileges and responsibilities, and a system of cyclical review to renew the commitments and the relationship. Trustees of the college must be willing to accept the responsibility of both commitments.

Covenant theory and process

A covenant is a voluntary agreement between parties based upon some mutuality of purpose, the seriousness of which transcends everyday matters. It is entered into with an added measure of determination and with an intent of permanence. Thus, a covenant is qualitatively different from a contract. A covenant deals with broader, more basic understandings, and it focuses on the whole relationship between persons or groups and, specifically, on the quality of the relationship and how it can be maintained. While certain actions may arise from and demonstrate the covenant, its significant feature is the basic relationship into which the parties voluntarily enter.

The work of developing and reviewing a covenant must be done by authorized representatives of the church body and the institution, and it must be done by these representatives as a group working together face-to-face. This group has the task of putting down on paper words that will clarify the relationship and enable the two organizations to grow in the relationship.

The work of covenant development requires a major commitment of time and effort on the part of the persons charged with this responsibility. These people should be selected carefully; they should be familiar with the workings of at least one of the parties in the relationship. Moreover, their personal attitudes are impor-

tant; they must be open to new ideas, dedicated to building confidence and trust, and determined to work toward common goals. Thus, the task calls for a high level of commitment to a challenging job that will take substantial time, effort, and thought. It will also require funds to enable the covenant team to meet together, to have staff support, to use and prepare materials.

One of the distinctive features of the covenant is that it provides the opportunity to review the covenant periodically, to report on how the relationship has been going, and to propose modifications in the covenant. The covenant should include explicit guidelines for this part of the process.

The people who prepare the covenant should bear in mind two particularly important points when they are setting up the review/renewal cycle:

The importance of face-to-face contact. It is absolutely key that the officially designated people from both the college and the church be personally involved in face-to-face relationships as the covenant review progresses. Such face-to-face work is one of the most important elements in communication and in building trust over the years, and it should not be delegated to staff.

The frequency of change in the responsible bodies makes this all the more important. When it is time for the covenant review, there is often an entirely new group participating, particularly on the part of the church representatives who may be appointed on a rotation system. College representatives tend to change less often since there is greater continuity of trustees and officers; however, there may be new members in that group also.

People new to the covenant review process often lack background on the history of the relationship and of the covenant. In this situation it is all too easy to delegate the process to staff. In some cases the covenant review has come to resemble an accrediting, third-party procedure without the key parties of the covenant adequately involved. This violates and undercuts the basic concept of the covenant with its mutuality, common concerns, and trust commitments.

Frequency of covenant review. This should be coordinated with accreditation processes or other kinds of review of the college's mission so that staff work and documents prepared for one review can be used in the covenant review. Covenant review should also be geared to the church's cycle of review. If the church body has covenants with a number of institutions, it should establish review cycles so that only one or two of the covenants are reviewed each year. This guards against overload for persons involved. Thus, the cycle of the college and the cycle of the church need to be coordinated in order to even the workload and to utilize relevant work originally done for other purposes.

Still another important factor in the covenant review is the involvement in various roles of inputs and critiques of the people in the college community. Covenant review also provides the opportunity to inform people in the wider church about the role and mission of the college. Communication about the covenant is one way to remind the church and the college of their relationship, and to provide an opportunity for renewal of mutual commitment.

Provisions or elements of a covenant

The language of the covenant is a sensitive area. In both the church and the college, we still carry the baggage of our history; certain words and phrases have emotional overtones that may present problems, i.e., "owned and operated," "Christian college." We also need clarity and consistency of language in referring to the specific groups who are involved and in detailing policy and concepts. The group preparing the covenant must decide whether the covenant is to be short, like a constitution, or a longer document giving greater detail on the commitments and relationship. Certainly the covenant should not be so detailed that undue amending would be required in the interim period before the next review.

Consider the following outline as a checklist of possible items to include in a covenant. Each college and church should select the items appropriate for their particular situation.

I. The nature of the covenant

A. Definition and purpose of the covenant: The word "covenant," an often used biblical term, implies a relationship that is more than contractual and that includes a deep level of trust between the parties. It describes an intentional, permanent relationship of mutual expectations and commitments, with provision for clear, precise review and evaluation as it brings parties into a closer and serious working relationship. It is intended to be legal and consistent with the other official documents of the parties. It should be a vital, flexible agreement with opportunities for adaptation to meet changing conditions and to improve and renew the mission of the two parties and their relationship.

B. Parties to the covenant and the historical background of their relationship: This section briefly sets out who the parties are; the development of their historical relationship; the founding of the college; any changes in church and college relationship, geography, etc. This provides an historical basis for understanding the relationship under the covenant.

C. The intention and use of the covenant: The covenant is to be used as a statement of mutual concerns and commitments and as the working basis for the relationship and for communication among the parties and their various constituencies.

II. Responsibilities under the covenant

A. The affirmation and mission of each party to the covenant: The purpose and mission of each party are briefly stated; each party's role and program commitments are affirmed.

B. The parties and their relationship—the common ground and commitments: This section includes a description of each party's arrangements and

responsibilities in maintaining the relationship; the concerns and commitments shared by the two parties; the understanding of the parties that each will be enriched and strengthened by their mutual resources and by supporting the mission and work of the other.

C. Corporate integrity of each party and how that is expressed and carried out: This section defines the corporate status of each party and its independence. It states whether any ascending debt or other liability is involved or prohibited, whether there are residual clauses, whether there are any successor organizations or structures, and whether the relationships described in the covenant are consistent with the charters and official documents of the parties. The covenant should set forth the responsibility of each party in the selection of college trustees and in accountability and governance.

D. Review and renewal cycle: This section details the responsibilities of both parties and the procedures and schedule for the review. The covenant should identify who will be involved from the church and from the college in order to foster face-to-face meetings that will build confidence and trust; it should specify how staff work is to be done and how the results of the past year (or period of the cycle) and other necessary information will be made available to the review team.

III. Mutual understanding and resourcing

A. Mutual concern and support: This section describes general financial relationships and support plus specific financial support arrangements including those for capital or deferred giving.

B. Authorization of program relationships: This section details what each party is to do and how that will serve the other; how each party will use its resources to help the other—i.e., the church will provide publicity, arrange conferences, set up committees; the college will use educational resources such as lectures, counseling, and musical performances on behalf of the church.

IV. Formal approval by the church group and by the college

This section describes the church approval process, the officers involved, and any timetable of church bodies involved. It outlines the process of approval by college trustees and any other college officials involved. It details how the covenant will be published.

Section IV also outlines implementation and recognition of the covenant. It specifies whether the jointly approved covenant establishes and contains all of the terms of the relationship between the parties and whether the official documents of each are consistent with the other. There also may be some formal action or ceremonies by church bodies and/or by trustees for formal communication of the covenant to their constituencies.

The covenant: A vital relationship or a document?

In our discussion of the covenant so far, we have assumed that both church and college are equally concerned with the church-college relationship and are interested in finding new ways of working together in a more effective, trusting manner in spite of new and complicating societal problems. But unfortunately the truth is that often one of the parties (and sometimes both) is not really interested in working out a new relationship and, in fact, wishes that the existing relationship and its many problems would disappear.

From the college's standpoint, the small percentage of the college budget received from the benevolence giving of the church does not justify the reporting required, the entanglements, the politics, and all the time and energy spent on a covenant. The attitude of the college president and the board of trustees—their understanding and degree of personal commitment to the church and the college-church relationship—largely determines the nature of that relationship and the college's approach to the covenant. Is it worth the effort? Would the college be better off as an independent institution?

From the church's standpoint, education, especially higher education, is no longer as high on the church's agenda as it was in the early history of this country or in the period following World War II. I should mention that the size, structure, and age of the denomination as well as its theological fervor significantly affect the place higher education has on its agenda. Maturity often brings with it both acceptance and neglect.

Whether higher education is a priority is also determined by the attitude and perspective of the church officials, especially those concerned with the program and budget of the church. These people are generally pressured by other societal and church needs and are very aware of what they could do with the time and money now going to the colleges. I am convinced that one of the primary problems here is that the church does not make the distinction between its own internal programmatic educational functions and the related (possibly by a covenant) institutional functions carried out by the legally responsible college. As discussed earlier, this distinction could be crucial to the future of the relationship, the covenant, and the resources and opportunities of both the church and the college.

While this seeming lack of interest in the relationship is all too often part of the new context for church and college, it represents a very short-range view for both institutions. In most cases, when the college and the church have parted ways, both have lost. The college may be relieved of the burdens of church relationship, but as an independent institution it may no longer have a viable constituency. The church loses not only a place for its youth to secure a special kind of education, but—possibly more importantly—it loses the contributions of the college and its people to the life and learning of the church.

Most of all, when we take the long-range view of the American higher education system, we see that we cannot afford to have a monolithic state-controlled system if we really cherish our liberty and freedoms. Let's imagine that the founders of this country were writing the constitutional safeguards of our freedoms today.

In 1787 they emphasized religious freedom and freedom from state control because, at that time, the church was the most influential force in the shaping of people's values and they did not want a monolithic system. They had seen the dangers both of state domination and of church domination. Don't you suppose that if they were here today, they would judge education to be a primary influence in society and that, consequently, they would believe it necessary to write a type of first amendment of freedom for education? It's significant that dictators, early in their reign, always take control of education because the power that controls education ultimately controls the mind of the people.

As we move into the 21st century, the church and the church college may be one of the most important bulwarks of our liberty and freedoms in helping preserve a pluralistic society and a dual system of education.

This leads me to plead for covenants if only as documents of agreements of past relationships, of common concerns, of the use of the denominational name and ties to constituency even though the usual budget and operational relationships may have become token ones. In the meantime, a covenant document may be very important to the church and to the college by protecting each in our litigious society. And the day may come when such a covenant document can be revised to become once again the basis of a vital relationship. I hope that both college and church leaders will take advantage of the new context and of the crisis in education and in the church. I hope that they will use this situation as a time to reassess and renew this relationship on the basis of concept and commitment rather than on the basis of money and control.

III. The President and the Ultimate Responsibility

As we conclude, we must not omit the most crucial item regarding the president of the church-related college. In this essay we have discussed many specific aspects of the college mission, the role and scope of the college, and its goals, objectives, priorities, and strategies. We have discussed the president whose perspective and role are so crucial to the leadership of the college. We have recognized the many pressures of faculty, of educational programs, of students, of the relation to the church. We have indicated the changed context, which affects understanding and trust. Although we may consider each of these factors as individual items, they are all integral parts of the whole changing picture in which the church and the college must operate.

What we have not discussed except by implication is the ultimate responsibility of the trustees: They are ultimately responsible for the college mission and for the church relation, and for seeing that the president carries out his or her leadership role in these two vital areas.

This brings us to two adages we often hear about the role of the trustees: One is that a trustee must "give, get, or get off the board." The other is that at the board meeting, there are only two questions the trustees need to answer: First, "Is the president doing a good job?" If the answer is "yes," then the second question is,

"What can we do to assist?" If the answer is "no," then the second question is, "How soon can the search committee meet?"

Like all bits of folklore, these adages contain a germ of truth. The trustee function is too often narrowly defined as to give money or to get others to give money. Some feel that if that doesn't happen, the person should not be a trustee. This attitude misunderstands the real function of a responsible board.

The trustees' most important tasks are the selection, care and support, and evaluation of the president. They must hold the president accountable, and they must see that he or she is doing the job. And probably the most crucial long-term aspect of the president's job is to provide effective leadership in the accomplishment of the college mission and the fulfillment of the responsibilities of the church-college relation. Evaluating this aspect of the president's performance is the responsibility of the trustees.

If the trustees find this responsibility a difficult one, they might reread this essay to pick out the characteristics, skills, and perspectives that are essential or at least helpful in fulfilling the college mission and the responsibilities of the church relation. They can then use these qualities for evaluating or selecting a president. Some of the more important items might be awareness of the changes in society and in the system of higher education; the kind of institutional and holistic perspective the president has; and his or her understanding of the nature and use of the mission statement, its elements, the audience for which it is intended, and the process by which it is developed. Crucial to the church relation and the development of a covenant is an understanding of the changes that have taken place in the church and in the college and the new context in which both must operate.

The attitude and perspective of both the president and the trustees, as well as those of the church officials, are determinative. Their understanding of the theory, the elements, and the process of developing the covenant with the responsibilities that flow from such a commitment will enable both the church and the college to meet the challenges in the years ahead.

Although these items may be useful as a checklist, it is the trustees' insight and courage when dealing with the president—selecting the president and holding him or her accountable—that will determine the ultimate quality and success of the college in accomplishing its mission and in fulfilling its covenant role.

The trustees, the president, and the church have a common challenge: to fulfill the mission of the college and of the church relationship by providing for the growth of students and faculty, by sharing resources of scholarship and theology, and by serving our society as a part of the independent sector of a dual system of higher education. In this way, the church college will help meet the educational needs of the 21st century.

Note

[1] Warren G. Bennis and Burt Nanus, *Leaders: The Strategies for Taking Charge* (New York: Harper and Row, 1985).

Section 3

Mission and Institutional Advancement: Two Case Studies

Neal R. Berte

If, as some recent studies and trends indicate, there is a reemerging recognition of the value of a liberal arts education in a changing and increasingly technological world, then much of the credit for this reawakening insight goes to the successful example set by institutions such as Birmingham-Southern College. Under the presidential leadership of Neal R. Berte, the college has in the last decade gained national recognition for its outstanding achievement and innovative programs in the liberal arts. In "The Triumph of the Liberal Arts in a Changing Environment," Dr. Berte shares the story of Birmingham-Southern's renewal.

Dr. Berte became president of Birmingham-Southern College in 1976, after serving as vice president for educational development and dean of the New College at the University of Alabama. Earlier, he had held positions with the University of Cincinnati, Ottawa University, and the College Entrance Examination Board. He holds a B.S. and an M.S. in political science and a Ph.D. in counseling from the University of Cincinnati. He also studied at Union Theological Seminary, Garrett Theological Seminary, and Harvard University.

Dr. Berte has held many leadership positions in education and civic affairs. He has served as a member of the National Advisory Council for Career Education, president of the Southern University Conference, and in various positions with the Association of American Colleges, the American Council on Education, and the National Association of Independent Colleges and Universities. He has given leadership in the community to such organizations as the United Way, Chamber of Commerce, the United Methodist Annual Conference, the Boy Scouts, and the Alabama Symphony. He is the author of over 25 scholarly publications.

Chapter 3

The Triumph of the Liberal Arts in a Changing Environment: The Birmingham-Southern Experience

Neal R. Berte
President
Birmingham-Southern College

By the mid-1970s, most institutions of higher education—public and private, large and small—were confronting the problems of declining enrollments and diminishing financial support. In addition, liberal arts colleges had to face attacks on their very purpose, the value of a liberal arts education.

As unemployment and inflation climbed and as the United States continued to lose its industrial dominance in the world, Americans began to question more and more the value of higher education. At the same time, students' goals became more career oriented. The public seemed to be asking, "Of what value is Aristotle or Chaucer or Rembrandt to the future marketing executive of a computer software firm? What need a lawyer know of the Reformation or an economist of the Italian Renaissance?" Such questions were but the most obvious manifestations of a complex change in the public's perceptions of the value of higher education. These changing perceptions profoundly threatened and challenged liberal arts colleges as students shifted from traditional majors in humanities, arts, and sciences to business, technical, and preprofessional majors.

Now in the late 1980s, these problems continue to confront many institutions, particularly small church-related or independent colleges that have limited endowments and resources.

Ten years ago Birmingham-Southern College faced many of the problems these institutions share: Enrollment had declined 25 percent over five years. Multiple curriculum changes, prompted more by financial necessity and retrenchment than by educational vision, had left faculty and students confused about the college's academic purpose. A rapid turnover in presidential leadership—four presidents in five years—had undermined continuity and organization. Several years of deficit spending, as much as $600,000 a year, had led to a large budget deficit. The ties to the United Methodist Church, which had begun to weaken in the '60s, were nebulous and ineffective. Deferring maintenance to save money in the short term had led to a declining campus appearance and greater renovation costs. All these factors, plus ongoing discussion of moving the campus to a suburban location, helped erode community support. And by this time, faculty, staff, and student morale was low.

By reaffirming and adapting its central commitment to a liberal arts education, however, Birmingham-Southern College has achieved a significant turnaround in the past 10 years. Enrollment grew from a 1975 low of 727 to over 1,725 in 1987; the number of full-time faculty rose from 60 to 92; and support from alumni and the community increased tremendously. Effective ties were reestablished with the church. And Birmingham-Southern gained national recognition for its outstanding academic program. It was recently cited as one of the best colleges in the nation by *U.S. News & World Report* and the *New York Times' Best Buys in College Education.*

The college has achieved this change by first clarifying and redefining its mission in a changing environment, and then by developing programs that meet the needs not only of students but also of faculty and staff; by building partnerships and teams with groups within and without the institution; and by taking a flexible approach to leadership and organization.

Central to these efforts has been Birmingham-Southern's commitment to a clear academic mission—to offer preprofessional programs taught within the context of the liberal arts.

Assessment and renewal of mission

In 1976, the new administration's first task was to analyze the academic mission of the college in the context of its current situation, specific problems, and possible solutions. To that end, the president and the executive committee of the board of trustees established a college-wide evaluation process. This process involved 10 task forces representative of the various constituencies of the college—trustees, faculty, students, alumni, church, and the community at large. Each task force was to examine one of the following areas of concern:

- new learning environments;
- new delivery systems for new clientele;
- general support and fund raising;
- student recruitment;

- public relations and information;
- church relations;
- campus life;
- the commitment to education that leads to values clarification;
- career dimensions of the liberal arts experience; and
- campus governance.

In addition to appointing these task forces, the president and top administrators such as the dean and department chairs framed the initial statement of concerns and issues on which each task force was to work. The task forces had two months to consider the issues, gather data, and formulate a plan for action. At the end of that time, their reports would become the working plans for staff, faculty, students, and trustees. This work would culminate in the adoption of a formal plan for renewal.

From such a broad base of support and creative thinking, Birmingham-Southern hoped to renew its mission and vitality. And it was to prove so.

As the task forces began their work, they focused not just on the college's weaknesses and problems but on its strengths. The task forces collectively concluded that in spite of very real difficulties, Birmingham-Southern also had very real strengths on which to build. Particularly important was the college's still vital academic program which, in spite of the pressures, had maintained its high quality. Birmingham-Southern students going on to graduate study were admitted to, and did well in, prestigious programs. The college was rated the best in the state and one of the best in the region by outside sources such as *Changing Times*, the College Rater Service, and the Cresap-McCormick Consulting firm in a study commissioned by Birmingham-Southern's board.

Finally, although the value of a liberal arts education was under fire, the fact that Birmingham-Southern College was one of the few institutions in the state still offering a traditional liberal arts curriculum gave it a special niche in higher education in the region.

But how was the college to build on these strengths? College leadership considered the possible ways Birmingham-Southern might respond to the needs of the community and the larger society the college sought to serve. The task forces felt that the strongest response to adversity would be to build on what the college did—and had always done—best: providing a quality liberal arts education.

Such a stance would not be a blind commitment to the past, but a vital, dynamic academic purpose that could encompass adaptations and innovations such as addressing student concern for career preparation. Since industry and business are better equipped than colleges and universities to train their employees to do specific jobs, it is neither possible nor desirable for liberal arts colleges to try to compete as trainers and technicians. Colleges neither have, nor can they afford, the latest cutting-edge technology and equipment or the research staff to go with them.

Instead, liberal arts colleges have the best resources to prepare students for a *career*—not just a job—and for a working life that will include, according to Department of Labor statistics, an average of six different jobs. In this task, the liberal arts offer the best form of education by fostering the very abilities that make a student

successful in the rapidly changing world.

These abilities are clearly articulated in "Opportunity in Adversity: The Lessons Learned by Five Colleges," a statement that came out of a symposium sponsored by the Ford Foundation. Birminghams-Southern was one of the five participating colleges.

> The liberal arts are the right education for the times.... There is a large body of research on the outcomes of liberal arts education. It shows clearly that the liberal arts raise student capacity to adapt to changing environments. They cultivate the abilities required for work and for life—critical thinking, judgment, appreciation, values, communication skills, analytic and conceptual ability. In addition broad general education helps to foster tolerance and historical understanding, building connections between the individual and the rest of the human race, qualities that are indispensable to survival in an interdependent world. No other form of education matches these results.

The administration and faculty at Birmingham-Southern worked to develop and integrate additional career-oriented studies into the curriculum but to do so in the context of the liberal arts.

Leadership in these initial planning and implementation stages was crucial if Birmingham-Southern was to succeed. From the first, the involvement of all constituencies of the college in the college-wide analysis and planning established a flexible, team-oriented approach. In a book about the role of presidential leadership, however, we should pause for a moment to consider the kind of leadership needed in such an assessment of mission and redirection of purpose as that which took place at Birmingham-Southern. Although the particular tasks that any institution will face are complex and individual, and there are many effective styles of leadership, we can identify certain factors and characteristics that are important to success regardless of a president's personal style.

First, a president must be a catalyst, not a caretaker. The job of a catalyst in chemistry is to initiate a reaction and enable it to take place under more favorable conditions than otherwise possible. This aptly describes the role a president must play as a college faces the challenge of change and renewal. His or her job is not to order the changes, but to help others in leadership positions analyze, plan, and act. To that end, the president must have envisioned what the college could be; and he or she must have ideas and a commitment to them. But with conviction and commitment must come flexibility and openness to new and even more effective ideas.

In the particular tasks of evaluating and planning, the president and other administrative leaders should set the agenda for the working groups. But it is equally important that the president stay personally in touch with each responsible group, encouraging them to progress, listening and responding, and holding them responsible for completion of tasks.

Thus, communication emerges as the second factor in effective presidential

leadership. Ideally, a president is in touch with the many different constituencies in the college and therefore should be able to encourage many different views and ideas to emerge in service to the common goal—to advance the educational mission of the college. In so doing, the president not only reinforces the value of a liberal arts education but also works at instilling an understanding that there are many different ways to accomplish goals and build toward a consensus of support for new ideas. Institutional change can be invigorating and intellectually stimulating, but it can also be threatening.

For example, some faculty members may disapprove of a new program because they believe its focus is inappropriate to a liberal arts institution or because they see it as using already scarce resources. At this point, the president may have to communicate the idea that the new program addresses the shared goal of advancing the whole institution; he or she needs to articulate to faculty, staff, and other academic leaders the strong philosophical foundation for what the college is doing. He or she should ask for the support of all faculty and find ways to involve them in the development of the new program. Involving reluctant as well as enthusiastic faculty in writing the proposals and directing the project can help foster a sense of ownership.

Thus, the president works to develop an implementation plan that clearly involves faculty and staff. The president may also take the lead in seeking outside funding for the new project so that instead of using up resources, the project brings new resources to the college. After the president has done this, the program may still fail but at least it will have had a chance. It will not have failed through lack of leadership or use of scarce resources.

A final factor important to presidential leadership at this stage of renewal is the responsibility of encouraging action. The object of planning, after all, is not to accumulate data and publish a grand volume that will gather dust for years to come. The object of planning is to create and implement new ideas.

As viable ideas emerged from the planning processes at Birmingham-Southern, the college was able to move ahead to the implementation stage. This stage involved writing proposals for outside funding for some programs such as the Contract Learning Center (established with a grant from the Lilly Endowment) and the project "Work—Learn," a program funded by the Kellogg Foundation to link liberal arts education with career development.

At Birmingham-Southern, involvement in renewal and action helped build internal commitment to the college's purpose and to its efforts to adapt its liberal arts mission to the changing environment.

Creating new programs to fulfill a revitalized mission

It may be useful at this point to look at a few of the programs that Birmingham-Southern instituted to accomplish its renewed purpose of providing a liberal arts education that addresses the career concerns of students. These examples are by no means exhaustive but they may give you a sense of the type of programs used.

New majors, expanded business curriculum, and computer education program. One of the first steps taken was the addition of new majors in computer science and nursing. We also expanded the business curriculum. Each of these new majors is designed to ensure that while students are learning specific career skills, they are doing so within the context of a broader liberal arts curriculum. For example, the nursing program uses a nurse-practitioner model and requires core studies in the humanities, arts, and sciences.

Birmingham-Southern's commitment to computer education went further than merely establishing a new major. We adopted the premise that every educated person—not just science and math majors—must know something about the computer. It is interesting to note that the push for an expanded program of computer education at Birmingham-Southern did not come from the science or math faculty. It came, instead, from faculty in political science and sociology who were using computers for research and for helping students understand survey techniques and research methods.

Funds from the Mellon Foundation enabled the college to provide summer workshops for all faculty. These workshops helped faculty explore the uses of the computer in their particular disciplines, something most had not had an opportunity to do in their graduate study. These workshops gave faculty a chance to "get up to speed" in computer literacy and even get ahead of some of the freshmen whose high schools were advanced in these areas. Faculty in disciplines ranging from English to chemistry to sociology were then able to use computers creatively in their teaching. Within a few years, nearly half of Birmingham-Southern's students were using the computer in some aspect of their studies.

Building on this pioneering work of campus-wide use of computers in a liberal arts institution, the college obtained a grant of $2.89 million from the Olin Foundation to build a state-of-the-art computer center; this center has enabled even greater use of this educational tool.

Master of Arts in Public and Private Management (M.P.P.M.). The new M.P.P.M. program offers another example of how Birmingham-Southern expanded curriculum in fulfillment of its educational mission. This program grew out of a perception that our region of the country needed a graduate program in management with a liberal arts core. The task force assigned the job of planning was convinced that the region did not need another M.B.A. program. Thus, the M.P.P.M. program that we established emphasizes traditional liberal arts experiences along with business-related analytical skills. It is modeled after successful programs at Yale and Stanford. The program enrolls approximately 100 students and carries its weight financially.

Contract Learning Center. One of the traditional strengths of small liberal arts colleges is their ability to provide individualized instruction. The Contract Learning Center, begun with a seed grant from the Lilly Endowment, grew out of a desire to provide more opportunities for personalized teaching both in the classroom and in out-of-class settings. In the Contract Learning Center, a student and faculty member together define the type of learning experience they wish to have and draw up a set of goals to be achieved. They also agree on how the experience

will be evaluated: Will the student write a paper on the subject, create a work of art or a script, keep an annotated journal, or do a special field research project? What methods will be used in evaluation?

The Contract Learning Center also fosters more formal programs such as an internship in a student's area of career interest. To provide guidance and quality control, the Center has a director and a faculty advisory board. It is the responsibility of the director and the board to make sure that each project has a clear statement of goals, methodology, and manner of assessment to assure a quality learning experience for the student.

New programs can often build on existing structures, and so it is with the Contract Learning Center. The January term of the 4-1-4 academic plan already in place at Birmingham-Southern provides a logical time for many of these experiences to take place, although they are also offered in the regular term.

The Contract Learning Center also works with the career counseling and placement office and uses the Discover program (a computer program specially designed with a grant from a local corporation), which helps a student explore what's available in his or her area of career and graduate study interest.

Adult students. The Division of Adult Studies is another example of the way a liberal arts college can adapt its curriculum to a changing environment while maintaining and strengthening its traditional mission. Like other small colleges, Birmingham-Southern found most of its students in the pool of traditional college-age students. But because the college is located in an urban area, a need existed for quality educational offerings to adults who had not finished their education or had never attended college and who now saw the value of a bachelor's degree. The degree program for adult learners requires applicants to meet existing college admission standards. Full-time students attend courses at least two evenings a week from 5:30 to 10:30 p.m.

This scheduling, designed to accommodate the working adult student, is a radical departure from the traditional day program. Initially, some faculty resistance was experienced. Many faculty members resented the intrusion into their evenings. But the idea was reiterated that the mission of the college now included the education of adult students and that faculty cooperation was essential to give the program a fair trial. Many of Birmingham-Southern's faculty now want to teach at least one evening class because they have found that adult students are serious about and committed to the work, and that teaching adults offers a challenge that is new and invigorating.

These programs—adult studies, a master's level experience, new majors, an expanded business curriculum, and campus-wide computer literacy—show how Birmingham-Southern has worked to assure that its academic program continues to meet the educational needs of those it serves and how it has adapted to continue to fulfill its mission. The leadership required in the implementation of these programs is an extension of that required in planning. Building partnerships with constituencies within the college and encouraging teamwork are primary goals.

As a catalyst, the president must work to involve staff, faculty, trustees, and students, enabling them to use their creativity in service to the primary mission of

the institution. As a consensus builder, the president works to build support for new projects and programs that further institutional goals. He or she also leads in securing the additional resources needed to introduce a new program. Although funding ideas and proposal writing should involve those who will carry out the project, the president is often the most effective advocate for the proposal. Presidential involvement indicates to the corporation or foundation considering a grant that the proposed program is important to the institution.

As a collegial leader, the president should try to remain flexible and open to new ideas. Although the president may take the lead in championing a new project, this take-charge style is most effectively balanced by an open acknowledgement that mistakes will be made, and by a willingness to evaluate and change plans if needed and to move with a new idea when the moment is right.

Building partnerships with external publics

No matter how capable and enthusiastic its internal support, if Birmingham-Southern is to succeed in its mission and to grow and prosper, then the college needs to build partnerships with such external groups as alumni, the church, the business community, and the larger Birmingham community. It is important for the president to be actively involved and highly visible in establishing these partnerships. The partnerships have to be true relationships that involve more than the giving of financial support. The college has to be of service to the larger community in a mutually beneficial relationship. And the community, church, and business constituents have to be personally involved in the college in order to grow in understanding of and commitment to its mission. Thus, they have to share their expertise by lecturing on campus, supervising student interns, or providing job placement opportunities for students.

To implement this idea in practical ways, the college, with the active leadership of the president, secured a quarter-million-dollar grant from the Kellogg Foundation. The grant was used to establish a three-year program to explore the various ways that a liberal arts college could relate to the world of work. Among the projects developed were opportunities for faculty to spend four to six weeks as visiting professors in work settings and for business executives to spend one week on campus sharing their expertise with students, faculty, and staff.

During this project, for example, a history professor worked with the Alabama-Mississippi Export Trade Council, and an English professor played a leadership role in writing General Motors' annual report. Although Birmingham-Southern no longer has funding to release faculty to business, many of the college's professors continue to share their expertise with the business community as lecturers, researchers, and consultants.

The Executives-in-Residence program, whereby executives from business, government, and industry spent a week on campus each spring, proved so useful year after year that its cost became part of the ongoing budget.

A program such as Executives-in-Residence addresses the career interest of stu-

dents in a way that formal classes cannot. Frequently the relationship established between the student and the professional during this time results in a summer job or internship opportunities or other important contacts. In addition, an executive can articulate the relevance of liberal arts learning to future careers in a way that has great impact.

Such outside perspective is also valuable to the college in evaluating programs and planning for the future. Birmingham-Southern has established a number of advisory boards that involve these outside leaders in what the college is doing. For example, the Norton Center for Business Advisory Board, composed of 21 key businessmen and women who serve three-year terms, advises and critiques the business program. The Arts Council works in the arts, and the Pastoral Advisory Board, which is composed of ministers, meets twice a year to discuss the religion and philosophy programs and other activities that attempt to prepare students for full-time Christian service.

It is also important that the college give to the community. Involvement with the community does more than build support for the college's mission; indeed, it becomes a model for students of how an institution integrates its responsibilities with the larger community and society of which it is part. Birmingham-Southern's partnership with its external constituents provides a model that students will take with them in their future lives.

Birmingham-Southern works in partnership with the community in many ways. For instance, it is an active member of the neighborhood associations around the campus; it sponsors the Listeners' Program, which allows non-degree-seeking individuals to sit in on regular classes; it is a charter member of the Neighborhood Housing Service, a semi-public agency working to improve nearby neighborhoods. It sponsors a number of arts events that involve the community.

Students, faculty, and staff are encouraged to take part in many volunteer efforts sponsored by the college such as tutoring, working with residents of a nearby halfway house, working with the college-sponsored foodbank or the elderly or at downtown shelters for the homeless. The opportunities are numerous and always changing as different needs arise.

The leadership of the college has an important role to play in this involvement. A president, dean, or other top administrator who is active in community affairs communicates an important image to the college and to the community. Although there are limits to what one individual can do, active participation on community boards such as United Way, Boy Scouts and Girl Scouts, YMCA and YWCA, Red Cross, the Chamber of Commerce, and others helps build the partnerships that are vital to fulfilling the college's mission.

The relationship of a church-related college to its supporting denomination can and should be a partnership vital and beneficial to both college and church. By 1976, Birmingham-Southern and the United Methodist Church had allowed their ties to become very loose. Yet it was clear to all that being church-related should mean more than offering religion courses and preparing students through these courses for careers in the church.

The renewal and strengthening of the ties between church and college began

with the appointment of a full-time chaplain in 1976. The partnership that has developed has contributed to the spiritual and moral growth of the college and church. For example, the Pastoral Advisory Board mentioned above helps the college establish more effective programs for students preparing for careers in the ministry, Christian education, church administration, and church music. Since students are most likely to choose career paths in the church when they are exposed to "the best and the brightest" within the church's ministry, Birmingham-Southern seeks to provide that opportunity. The creation of an endowed chair of religion, the Denson N. Franklin Chair, endowed at $600,000, brings to the campus an individual who, by teaching, traveling, and participating in workshops and seminars, serves both the church and the college.

A Religious Life Council, composed of students, faculty, and ministers, and chaired by the chaplain, reviews religious activities on campus to see that they meet standards that support the mission of the college. Students serve as youth and music ambassadors to churches in the surrounding area. A highly competitive scholarship program selects eight students to serve area churches by assisting in their educational programs.

Financial support from the United Methodist Church has grown, and the church has been active in supporting scholarships. For example, in 1978 it raised $1.1 million through a major scholarship fund drive. Birmingham-Southern also has 88 Bicentennial Scholars, a nationwide United Methodist program that consists of shared funding by the local church, the college, and the United Methodist Higher Education Office. Birmingham-Southern has more Bicentennial Scholars than any of the other 128 United Methodist-related colleges.

Building such partnerships with external constituencies in business, community, and church not only gives Birmingham-Southern the broad and growing base of support any college must have to prosper. It also fosters a symbiotic relationship—each giving to the other—important to the vitality of both the community and the college.

Toward the future

As this essay has sought to demonstrate, any success that an institution enjoys is the result of trustees, administrators, faculty, alumni, church, and the community at large working together for a common mission. Through active involvement, each of these constituencies develops a sense of ownership in the clarification and redefinition of mission in a changing environment. New programs and expanded opportunities address the changing needs of today's students within a liberal arts context.

Birmingham-Southern's growth over the last decade illustrates the value of the liberal arts tradition at its best—facing adversity, analyzing clearly, focusing sharply on mission, planning creatively and innovatively, acting decisively, and working in partnership with those on campus and in the community.

Selected Resources

Association of American Colleges. *Integrity in the College Curriculum: A Report to the Academic Community*. Washington, DC: 1985. This report from the Project on Redefining the Meaning and Purpose of Baccalaureate Degrees is one of the recent studies supporting the continuing value of a liberal arts education in a changing environment.

Association of American Colleges. *Liberal Education*, Spring 1986. This issue contains articles and reports derived from the January 1986 annual meeting of AAC, which focused on "Liberal Learning and the Working World." Business and academic leaders reflect on the values of such learning.

Berte, Neal R., and Jackson, Stewart A. "A Systemic Approach to a Liberal Arts College." *Liberal Education*, Spring 1985, p. 85.

Berte, Neal R., and O'Neil, Edward H. "Managing the Liberal Arts Institution: A Case Study." *Educational Record*, Summer 1980, p. 25.

Berte, Neal, and others. "Opportunity in Adversity: The Lessons Learned by Five Colleges." Bradford, MA: Bradford College, 1985. This statement by five college presidents—Neal Berte, Leon Botstein (Bard College), John Chandler (Scripps College), Arthur Levine (Bradford College), and Joel Read (Alverno College)—grew out of an extended conversation between the presidents and a larger symposium, both sponsored by the Ford Foundation.

Berte, Neal R., with Shackleford, Karla. "Birmingham-Southern College," in *Institutional Revival: Case History*, ed. Douglas W. Steeple. New Directions for Higher Education Series. San Francisco: Jossey-Bass, 1985.

National Institute of Education. *Involvement in Learning: Realizing the Potential of American Higher Education*. 1984. The findings of the National Institute's Study Group on the Conditions of Excellence in American Higher Education also support the value of a liberal arts education. Among its recommendations: two years of liberal education for professional degrees.

Edward L. Henry

Geographically isolated in an area low in population and financial resources but relatively "crowded" with institutions of higher education, St. Michael's College in Vermont is typical of many small church-related institutions. In 1976 the college was subsisting on a low budgetary level that placed limitations on its academic achievement.

Under the leadership of Edward Henry, 1976-1985, the college turned its image around, marching out of austerity and into prosperity. By 1984 the college was named by Earl J. McGrath, a noted educator and former U.S. Commissioner of Education, as one of 15 model, liberal arts colleges "whose strategies in inclement times could be emulated profitably by other small institutions."

By training and experience, Dr. Henry was well-equipped to lead St. Michael's into new achievement. He came to this presidency after a three-year, trouble-shooting term at St. Mary's College of Notre Dame, Indiana, following its aborted merger with the University of Notre Dame. He had previously served for 17 years as professor and chair of the department of government at St. John's University in Minnesota where he was a full professor by age 35 and later was offered the university's first "distinguished service" professorship. Believing in the Greek concept of the "citizen politician," he held public office for 14 years as mayor of St. Cloud, Minnesota, a city of 40,000, and also served as an administrative judge on the Minnesota Municipal Commission. These he did while continuing his career in education. Soon after his departure, St. Cloud was named by the National Municipal League as one of the 10 most improved cities in the United States.

The editor of two books and more than 60 articles and planning reports, Dr. Henry is the recipient of numerous awards and citations in both civic and educational professions and has held statewide chairs in both Vermont and Minnesota. He holds a B.A. degree from St. John's University in Minnesota and an M.A., M.B.A., and Ph.D. from the University of Chicago. He is in his 21st year as a CEO, this time at Marian College in Fond du Lac, Wisconsin, after presidencies in Indiana and Vermont.

Chapter 4

The President and Institutional Advancement: The Story of St. Michael's College

Edward L. Henry
Past President
St. Michael's College

College presidential styles and strategic policies have been treated at length in the literature on that office, particularly (but not exclusively) in the reports of the Carnegie Commission on Higher Education. There will be, I suspect, little in the way of new strategies or programming revealed in this volume that is not universally known although perhaps somewhat less universally practiced. Although every new president seeks to do something different—and preferably unique—to distinguish himself or herself from predecessors, there is no patent or copyright on innovative practices, and new ones are quickly copied.

If this be true, why do some presidents seem to succeed and others not? I say "seem to succeed" because some become lengthened shadows of their institutions and attain prominence with or without outstanding personal achievement. Among the factors that help boost presidential image and exaggerate personal accomplishment are established institutional image (Harvard v. Podunk U.); large endowment or contributed services; wealthy and prestigious alumni; the particular professional circuit the president happens to choose or land in (or be born in); and the age of the institution. For decades in the United States, race, religion, or nationality helped provide access to and success in college presidencies. For instance, in the several hundred Catholic colleges, clerical status was—and in most cases still is—the key to access. There is, then, a caste system of a sort in education that makes it easier for some, regardless of personal merit, to get a presidency and to succeed in it.

Too, colleges, like businesses, go through different phases that call for different types of leaders. A college may need an intellectual giant to build academic quality, or a fine administrator to put things in order, or a politician to reconcile a disgruntled faculty, or a brilliant fund raiser to put up new buildings. For some presidents the situation seems to fit his or her particular constellation of experience or qualities, and he or she succeeds until the institution enters a different phase of its evolution. How often have you heard it said of a particular leader, "He really was a man for the times" or "Someone up there was watching out for us"?

For the moment, let's put aside these existential situations—except for location, which I'll discuss below—and let's assume that alternative strategies for operating colleges are common coin, what then determines whether the president of a small college will be successful or just average? What qualities can we look for that, combined with Machiavelli's "Fortuna," will produce success?

In my opinion, more times than not, these are the qualities that count:

- personality;
- administrative style;
- a variety of personal qualities that I would call "character";
- a pragmatic and entrepreneurial frame of mind that spots opportunities when they surface;
- judgment that generally comes from a broad, experiential background;
- a few professional or vocational skills that seem relevant to the existential situation; and
- a sound liberal undergraduate education supplemented by a good graduate degree to undergird the president's "legitimacy" with the academic fraternity.

These qualities support good execution, which is at the heart of successful leadership anywhere.

Location as a factor

The environmental setting is an important existential situation that bears particularly on the history of St. Michael's College. St. Michael's is a Catholic coeducational institution which first admitted women in 1970. It is situated on the edge of Burlington, Vermont's largest city (with a population of 40,000) and only 40 miles from the Canadian border. Montreal, 90 miles away, is its closest large metropolis. With a bit of statistical license, Vermont can be termed the most rural state in the nation. It is also among the three or four states with the lowest per-capita income north of the Mason-Dixon Line. Consequently, it struggles along with a frugal government, a modest wage structure, and not one foundation that would be recognized outside the state.

There are fewer people in the entire state of Vermont than in the Twin Cities of Minnesota. But more than two dozen postsecondary institutions, a few of them among the oldest in the country like the University of Vermont (1791) and Norwich University (1819), vie for students and financial support in this setting. Physically distant from the population and corporate centers of the country, Vermont's

colleges contend with relatively high operating, recruiting, and fund-raising costs. Their expensive tuition and fee structures reflect this fact of life.

On the other hand, the topography for nature lovers is among the most beautiful in the nation and the work ethic of the citizenry is the envy of industrial location scouts who, nevertheless, demur on plant location there because of the relatively high energy and transportation costs.

This description is a necessary starting point for any candidate seeking information about contextual opportunities or limitations of a prospective presidency. For financial management that must include fund raising is an absolutely necessary although not sufficient condition for a quality operation. And for most small colleges, the environment—physical, financial, and social—imposes limitations and opportunities as the case may be in achieving and maintaining academic excellence. So does the number of institutions competing for prospects.

Early in my term at St. Michael's, for instance, I visited the offices of the New York Association of Independent Colleges in Albany. Using some quick arithmetic, I found that moving my college just across Lake Champlain into New York State would add almost a million dollars in state aid to my budget. Likewise, if the college were located closer to New York City or to Minneapolis, we could more easily tap the large foundations, the many corporations, and the individual donors to whom the president should be omnipresent. Our executives could save on travel time; our admissions recruiters would be able to shave matriculation costs and cover more high schools; and our far-flung alumni could show up on our campus more regularly.

These are locational considerations, and the only colleges that can afford to be oblivious to them are those that have developed a national image over many decades. The Carnegie Commission recognized this by predicting that smaller, rurally situated colleges were most vulnerable to decline.

The college

St. Michael's, like most Catholic colleges, is a relatively late arrival among eastern private institutions. It was founded in 1903. As is true of all except a handful of diocesan Catholic colleges, it was founded by a religious society seeking refuge from the anticlerical laws in France. With some assistance from the local bishop and a loan from the bank, the priests of the Society of St. Edmund purchased a farm on the banks of the Winooski River near Burlington and proceeded to learn the English language. For more than 60 years they depended largely on internal financing to support their institution.

By 1985 St. Michael's had two campuses acquired from federal surplus property, 1,609 undergraduate, liberal arts students, 100 foreign students learning English, and a graduate program offering a half dozen M.A. programs to about 400 part-time and intermittent graduate students. The college's best claim to distinction would probably include its English language school, one of the oldest and best in the East, plus its location in romantic Vermont (a mixed blessing). Some 40 per-

cent of its alumni are scattered throughout countries outside the United States.

Founded by Catholic clerics in a nation where the power structure and wealth were basically Protestant, operated by a religious society numerically small and without the linkages of an order like the Jesuits, and located in a state where the economic infrastructure and population were thin and rural, St. Michael's perforce practiced chronic austerity until very recent times. It was outside the established channels of educational intercourse in the East which tended, with some exceptions, to stop at the northern boundary of Massachusetts. Moreover, the preponderance of private institutions that characterizes New England and the special plethora of Catholic institutions, natural competitors to St. Michael's, tended historically to screen out prospective students before they found their way to Winooski, 40 miles from the Canadian border.

Transition

Nevertheless, in the '60s, things began to improve for St. Michael's. New federal highways and a magnificent new airport put northern Vermont in touch with the rest of the East. Rising discretionary income throughout the American economy and the discovery of Vermont's outdoor virtues began to bring wealthy itinerants to the state for skiing and summer homes. Concern about the environment drew positive attention to the Green Mountain State from the crowded and polluted urban centers of the East. Long winters and the isolation of scattered homesteads and villages encouraged home crafts and created a tradition of folk art that made the state a growing haven for artists of every type.

All this created material for image building and an opportunity to turn necessity into virtue. Educational institutions in Vermont seized the chance to show their best side to prospective students who might now at least take a second look. St. Michael's College, for one, invested a good deal of time in painting a romantic picture of its setting to a generation of students who wanted a good lifestyle along with a good education.

The above partly explains the financial trouble the college faced by 1970. And St. Michael's was not alone. A number of other private colleges were suffering from the slowdown in the rate of increase in student enrollment and the inability of many presidents to manage their institutions financially.

Catholic institutions, as such, had another problem as well. Under the prodding of Pope John, the Vatican II Council had loosened the strict discipline that had always kept the Church a tightly knit organization. The result was an exodus from the ranks of the religious whose contributed services had been the mainstay of Catholic education. To handle growing enrollments after World War II, Catholic colleges had somewhat reluctantly begun to hire lay instructors. Now, they had to hire many more and find the funds to pay their salaries. This meant, in effect, a substantial loss of endowment. Thus, many Catholic institutions faced cash flow problems by 1970. For St. Michael's it meant a further bitter dose of austerity and perhaps even a crisis.

Recent history

In 1969 the college had appointed its first lay president, a distinguished alumnus who had served as head of the General Services Administration under Kennedy and the Small Business Administration under Johnson. A banker by profession, he had run unsuccessfully for governor of New Hampshire prior to being called to Washington. He understood St. Michael's financial situation only too well and took immediate steps to stem the financial hemorrhaging occasioned by loose management, inadequate fund raising, and the pressure of the times.

The new president opened the college to women and turned the screws on the college budget. In retrospect he may have saved the college from financial collapse. Two problems rose to plague him, however. Retrenchment had already created problems in morale, and the president's style of management added to these problems. Coming out of a management structure (government and business) that was directive (or authoritarian) in nature, he either failed to grasp the modus operandi of the academic community, which is a consensual one, or else he decided it would be fatal to let such a leisurely style operate in times of crises.

It's possible to speculate that although the college survived, shrewd marketing practices and image building might have put it in a better position. Although the budget was balanced, it was at a low enough level to make academic excellence an elusive goal. The president resigned rather suddenly in 1974 when the politics of the sponsoring religious body and dissension on the board of trustees seemed to turn against him. He then took over the presidency of one of Vermont's largest savings institutions. Many months later, when I arrived on campus, one of the kitchen crew remarked to me that if I did a good job I might be a bank president some day like my predecessor!

Getting information

I relieved an interim president in March 1976. Previously I had served as president of a well-known women's college in a short-term, trouble-shooting role. Prior to that I served simultaneously as a political science professor and mayor of a sizable Minnesota city. Like most new presidents I had to take potluck on the overall condition of the institution whose pathology had to be slowly diagnosed over the next 12 months. The search committee had been friendly during my interviews, but few such committees really have a good perspective on the institution or know the norms against which good college operation has to be measured. In any event, they are usually reluctant to disclose information that might be painful to a candidate for the presidency.

Furthermore, as I discovered time and again, most faculty and even trustees don't know what presidents do and thus find it difficult to make accurate judgments. Holistic approaches to a college's problems are seldom found outside the president's office. In most institutions (like business corporations), this presents no problem since they are not administered democratically or, as the Carnegie Com-

mission characterizes it, "mediatively." The conventional wisdom about college governance is that it should be consensual. This is particularly true for small, liberal arts colleges, where there is likely to be a greater emphasis on the mediative role of the CEO than at large institutions. And the better the quality of the faculty, the more insistent they are likely to be on consultation and control.

Since colleges possess the largest concentration of expertise in society, this might seem like an unalloyed advantage to a CEO planning ahead to meet problems. All too often, however, the other side of expertise is tunnel vision. Faculty members in liberal arts institutions are model builders, idealists; they seek to create the perfect world. But they build their models in the controlled and sanitary environment of the classroom and this may lead to a certain sense of omnicompetency in projecting those models into concrete situations.

It is understandable then that when the professor addresses the world outside the classroom, he or she frequently finds it wanting. And the world the professor is most likely to deal with as an active participant is that of the college. It does not take long for the professor to see that the president has feet of clay and that the prudential judgments that often provide imperfect solutions in the college can be improved upon. Prudence is not a universal characteristic among professors who must be thinkers rather than doers. As Aristotle points out in his *Politics*, prudence springs out of practical rather than theoretical wisdom, and practical wisdom is nurtured by broad experience. When ideal solutions seem so obvious, those of the president may appear to be sullied by limited competence or unacceptable and illegitimate influences.

This makes the decision-making process somewhat more difficult for small college presidents living as they do in close daily contact with faculties who expect to participate in policy decisions. I was lucky. I found that St. Michael's faculty had a fairly high level of practical wisdom compared to the faculties of other institutions I knew. Because Vermont still practices the town meeting concept and encourages broad participation in civic and other local policy making, a rather high proportion of the faculty had had this sort of experience and had developed an appreciation for the limitations imposed by context on ideal solutions. This helped to ameliorate—but not eliminate—the typical critical stance of faculty members.

A president who sweeps into office with a prepared agenda for change has to exercise patience and diplomacy for some time. Crisis conditions may provide him or her with a window for immediate action, but this window often closes rather rapidly, for faculties as a whole tend to be much more conservative about changing their own institutions than they are about changing other institutions in society. Presidents also have to deal with a variety of other clientele groups who have an interest in the college and who may hold conflicting positions on policy.

As a result, presidents have to become adept at weighing the impact of these various groups and conciliating them if they find it necessary to rock the boat. In today's higher education climate, outside forces impinge on internal policy more than at any point in history. This situation demands presidents who can be fluid and reactive or their institutions, like the dinosaur, will become extinct. Faculties that cannot be persuaded to accommodate these external influences will pay the

price of seeing the institution suffer declining enrollment and financial distress.

The president, then, must practice the skills of the politician, the persuasiveness of the salesman, the logic of the educator, and the patience of Job in bringing his or her clientele groups along. And like his or her political peers in the civic community, he or she must frequently be satisfied with half a loaf. Skill in the art of the possible—that is, politics—is increasingly recognized as the sine qua non of the successful college president.

This decade promises to test all college presidents, but particularly those in smaller, private institutions where the financial pressures will be greatest. Budgetary cutbacks or even freezes on resources create a situation full of agony for the administrator and demand political acumen in a degree never experienced before. For as Harold Lasswell, the eminent social scientist, says, the art of politics centers on the question of "Who gets what, when, and how?"

The new president

When I arrived in 1976, in almost every category of need St. Michael's had backlogs, reflecting its long history of austere budgeting. My private estimate of the cost to catch up was $20 million or more at 1976 prices. This was a staggering conclusion to me, a new president. In 1976 I had a total annual budget of less than $7 million dollars; the endowment was insignificant; the sponsoring religious society had negotiated a withdrawal of its contributed services; and fund raising, except for one unusually large gift received during my first year, had settled into an annual range of about $250,000. A capital funds campaign started several years earlier had petered out far short of its goal, and there were no reserves whatsoever should we have a major problem with physical plant.

It was disquieting to know that this backlog would have to be addressed in what the Carnegie Commission was calling potentially the worst decade in the history of higher education.

The bottom line

In 1985, on the eve of leaving the college after somewhat more than nine years as president, I reported the following facts in a report entitled *The Bottom Line: A Final Report to the Board, 1976-85.*

> • St. Michael's was turning away five to six hundred applicants a year for its freshman class and SAT scores were up 50 points on the average.
>
> • St. Michael's was selected as one of 15 small, liberal arts colleges for a three-year intensive study by Dr. Earl J. McGrath, former U.S. Commissioner of Education. The study released in 1984 described these colleges as models "whose strategies in inclement times could be emulated profitably by other small institutions."[1]

- In July 1981 the Council for Advancement and Support of Education (CASE) selected St. Michael's for first place in its size category for improvement in alumni fund raising. Two years later it received another CASE award for parent fund raising. From 1981 to 1985 the college received recognition from CASE several times for excellence in publications.
- In 1979 the ABC-Greyhound Foundation awarded St. Michael's first place in New England for community services.
- In 1983 the *Chronicle of Higher Education* devoted a three-page spread to the college.
- In 1982 and again in 1983 St. Michael's was the only small college among six national winners of the National Theatre Festival competition. On each occasion it presented performances in the John F. Kennedy Center for the Performing Arts in Washington, D.C.
- A new core curriculum was in place as well as a new computer science undergraduate major and three new M.A. programs.
- Seventy percent of the main campus had been either newly constructed or recently renovated, and planning was completed for a new $6.5 million classroom building [which opened in January 1987 to complete the consolidation of the two campuses].
- During this period, St. Michael's budget grew from $6.5 million to $18 million; endowment rose 400 percent and so did annual fund raising; gift expectancies reached at least $3 million; $3.5 million in old debt was retired; and, in total, $22 million in new funds was addressed to the unmet needs of the college. Applications for admission were running at 2,100 for 500 freshman slots.

Leadership strategies

Probably all of my colleagues in *Courage in Mission* have similar stories to tell. Their strategies may differ and so may their leadership styles. Leadership is situational in nature—that is, the nature of the problem determines the type of leadership qualities needed. My general strategy was to produce a good product, market it well, and finance both of these steps with close internal financial management and good external fund raising. My administrative style was to pick good people and give them plenty of discretion, and to find the islands of creativity on campus and support them well. Mao Tse-tung's goal of "letting a hundred flowers bloom" perfectly describes what I hoped would happen. These are some of the elements I believe the president must achieve to let the flowers bloom:

Create vision

You need to dramatize the institution's needs and couple them with an expectation of great things to come. The vision should be a dream laced with optimism

and communicated to all constituencies. Of course, the dream should be within the realm of possibility for the institution. Painting a vision is risky business if the vision is completely unrealistic.

At St. Michael's, our dream was a generous one but not beyond our reach. We glorified and, in a sense, mythologized the past as an appeal to our constituency to help achieve the hopes of the college's founders. We associated the college with fulfillment of larger social needs, such as production of principled leaders for the future; we extolled the mission of Catholic liberal arts colleges as the traditional transmitters of the classic culture of ancient and medieval times, and so on.

Rising hopes make present pains easier to bear; they help create a positive work ethic on campus; and they generate pride in the hearts of the college's constituents. Every president needs a bit of the dreamer to convey excitement, enthusiasm, and a sense of great things to come.

Plan to materialize the vision

We tried to capture and update the intentions of St. Michael's founding fathers with a new mission and goals statement; we followed this somewhat later with a three-year plan that covered every phase of college life. These are routine procedures on every campus, but it's important to hit a median position between a plan that is too detailed and one that is too general. Excessive detail in planning cramps flexibility and fluidity, but too general a plan fails to give direction.

The entrepreneurial president—one who constantly seeks new opportunities—needs a plan that is not so tight it prevents adjustment to sudden changes in the external environment or blocks exploitation of unexpected developments. In addition, a plan that is too firmly in place and sold too well will arouse expectations and encourage inflexibility in faculty thinking. Too, the *process* of planning may, in fact, be more important than the *product*, for planning creates an opportunity for the involvement and education of the college community, and it encourages dialogue on campus.

Maintain disciplined internal financial management

I had a comptroller who seemed to say "no" most of the time—even to me. However, he said it pleasantly! Occasionally I had to remind him that I could and would override his "no" when necessary. A good comptroller is the president's best friend, and among the vice presidents only he or she has a specific mandate to watch out for the total good of the college rather than for any particular segment of it as do the other vice presidents. Fortunately, the faculty had been conditioned by this comptroller and by my predecessor to live abstemiously. It was a delightful legacy from the past, one that made budgeting far less onerous and stressful. The result: a balanced budget every year with sizable increments of net income to meet unbudgeted needs such as endowment and reserves which for most small colleges are residual in nature.

There are always problems of budgeting in colleges and particularly in most small colleges where resources are always thin and flexibility limited. Without a macro view of departmental needs, explaining the implications of "opportunity costs" to college personnel becomes very wearing—that is, funding one project eliminates the possibility of funding someone else's!

The other tough concern for a visionary president who lives in the midst of his or her community is the need to resist pressures to consume capital before it can raise productivity. Developing colleges, like developing nations, have to tighten belts today on consumption (including salaries) if they would live better tomorrow. We knew from the beginning that somehow we had to coax some capital out of our internal operations if we were to secure our future in the exiguous decade ahead. We did it by the simple process of budgeting for 1,500 students and then admitting 1,600.

Build image

The best support for "image" is a consistent history of high academic quality. Smaller colleges can rarely rely on this alone for the "name" colleges get the headlines. Image building, then, for the small college president must be pursued assiduously and unremittingly. He or she seeks every opportunity to appear in public or in the media; he or she joins and he or she speaks. He or she looks for the unusual to draw attention to the institution. He or she runs the risks of being in the forefront of activities outside the college.

St. Michael's attracted national attention in several ways: One was an unusual international conference on "domed cities," headlining Buckminster Fuller and sponsored jointly by the City of Winooski, Vermont, and the college. Another was an international symposium on women. Both got us national press coverage.

With hundreds of alumni in Japan, the college spearheaded a trade delegation, which included the governor of Vermont, and awarded an honorary degree to Hosai Hyuga, chair of the prestigious Kansai Federation of Japanese industrialists in West Central Japan.

We also sought high-visibility federal project grants such as one to establish a "transportation information exchange" for Vermont road officials when the federal government cut back on highway funds; and a three-state orientation project to prepare immigrant parents to deal with public school programs for their children.

While these programs were not necessarily directly income-generating, they had "radiation" benefits that provided visibility for the college and college personnel. Benefits occurred later in unpredictable ways. That is true also for children's programs such as summer camps which may bring back the college students of tomorrow.

In all of these endeavors, the president of the college performs in a role model capacity and must reflect the institution's values. Most people relate to the college through the president.

Choose an appropriate presidential style

I believe that people are more productive when they are trusted, supported, and reassured. Thus, I believe strongly in an open-door policy for all. I had no hidden agendas, and I tried to be as open as possible with plans and information—I even opened the financial records to the faculty. My philosophy is that colleagues and subordinates deserve opportunities to grow and a good leader provides those opportunities through liberal delegation. After some 30 years at or near the summit in administration, I have concluded that this works.

I also know that organizations at any level are composed mostly of average performers. If you want movement, you must seek out the islands of creativity and provide special encouragement and support and discretion. These people will then pull the institution up along with them.

Adequate feedback

While feedback is important for every executive, it isn't easy to get. Authority figures seldom hear the truth face-to-face from their subordinates. There is a saying that a person who ascends to a presidency has heard the truth for the last time. And the database on which the president makes decisions must include emotions and attitudes as well as facts.

How do you induce subordinates and faculty to give you useful and honest feedback? One useful strategy is to have a warm and sympathetic assistant who lends a friendly ear to those who are intimidated by authority. Another is for the president to speak last rather than first at meetings.

Personalism

Response to the cultural expectations of a small college campus cannot be put on and taken off like a coat. A respect for human dignity is basic, and it must spring out of the president's own values because it is the president who sets the tone. "Personalism" is one of the great advantages the small college has over the large institution. On a large campus, standard operating procedures are necessary to assure equality of treatment, to handle a large volume of transactions, and to save on executive time. The president of a large university is usually "protected" by a phalanx of secretaries and assistants and consequently finds it difficult or impossible to project a personalist image.

The president of a small college, on the other hand, has more face-to-face involvement with campus people and thus is in a better position to stamp his or her character on administrative decisions. The trade-off, of course, is that an ineffective, unfair, or weak president in a small college setting cannot hide behind a bureaucratic front line.

Presidential strengths

What strengths are supportive for presidential leadership? My education was particularly helpful to me. I'd had a humanistic (liberal arts) education in a religious college, and this, I believe, engendered an *imago hominus* that made me particularly sensitive to human needs and to human dignity. Most liberal arts colleges sprang dually from religious foundations and the classical tradition, both of which are heavily humanistic.

Secondly, I was fortunate enough to have had experience in several spheres—military, business, politics, public administration, and the media. This tempered my idealism and nurtured a modicum of practical wisdom. The political experience enabled me to develop an almost intuitive sense of someone else's feelings. John Stuart Mill believed that civic experience, which requires doing something for the public, counteracts the natural human inclination towards selfishness and makes a person more moral by directing his or her attention to serving others. In practical terms, politics had conditioned me to look on everyone as a potential voter!

Thirdly, some practical business training in graduate school gave me analytical skills and concepts that were important in understanding key financial concepts in an age of austerity for colleges.

Finally, and probably most significant, I believed that what I was doing was important and of benefit to society, wherever I did it and in whatever college I did it. Over the objections of my graduate school advisers, I chose to spend my career in small colleges because that is where I felt I could be most effective. I have never regretted it.

Note

[1] E.J. McGrath and R.S. Weber, "Excellence in Small Liberal Arts Colleges," *Report* for the Murdock Foundation (University of Arizona, 1984). Dr. McGrath was U.S. Commissioner of Education, 1949-53; former president and chancellor of the University of Kansas City; and chancellor of Eisenhower College, New York.

Selected Resources

Benezet, Louis, et al. *Style and Substance: Leadership and the College Presidency*. Washington, DC: American Council on Education, 1981.

Carbone, Robert, et al. *Presidential Passages*. Washington, DC: American Council on Education, 1981.

Carnegie Council on Policy Studies in Higher Education. *Final Report*. Washington, DC: Jossey-Bass, 1980.

Cohen, Michael, and March, James, eds. *Leadership and Ambiguity: The American College Presidency*: Carnegie Commission on Higher Education. New York: McGraw-Hill, 1974.

Fisher, James L. *Power of the Presidency*: New York: American Council on Education/Macmillan, 1984.

Glenny, Lyman, et al. *Presidents Confront Reality*: Report for the Carnegie Council on Policy Studies in Higher Education. San Francisco, Jossey-Bass, 1976.

Harvard Business Review. *Paths Toward Personal Progress: Leaders Are Made, Not Born*. Cambridge, MA: Harvard University, 1980.

Heyns, Roger. *Leadership for Higher Education*. Washington, DC: American Council on Education, 1977.

Kauffman, Joseph. "The New College President: Expectations and Realities." Research paper, 1977.

Kauffman, Joseph. *The Selection of College and University Presidents*. Washington, DC: Association of American Colleges, 1974.

Kerr, Clark, ed. *Presidents Make a Difference*. Report of the Commission on Strengthening Presidential Leadership. Washington, DC: Association of Governing Boards of Universities and Colleges, 1984.

Millett, John. *New Structures of Campus Power*. San Francisco: Jossey-Bass, 1978.

Moots, Philip, and Gaffney, Edward. *Colleges and Sponsoring Religious Bodies*. Washington, DC: Association of Catholic Colleges, 1978.

Vaccaro, Louis C. *Notes from a College President: Issues in American Higher Education*. Boston: Beacon Hill Press, 1975.

Section 4

Carrying Out the Vision

Jerald C. Walker

Within higher education and without, Jerald C. Walker is known for being the kind of educational leader he advocates in this essay. When Dr. Walker became president of Oklahoma City University in 1979, the university had a history of deficit budgets and shrinking enrollments and support. Under his leadership, the university has made dramatic gains in a number of areas. The budget has been balanced every year since 1980, the permanent endowment fund has quadrupled, student enrollment has increased more than 27 percent, new academic programs have been instituted and new facilities built. The university is currently midway through what is thought to be the largest financial drive for an educational institution in the history of Oklahoma—the $60 Million Let's Get the Job Done for Oklahoma City University Campaign.

An ordained Methodist minister, Dr. Walker is a graduate of Oklahoma City University. He earned his Bachelor of Divinity degree from the University of Chicago and his Doctor of Religion degree from the School of Theology at Claremont. He returned to OCU after serving as president of Baker University in Kansas. He has also served as vice president for university relations and associate professor of religion at Southwestern University in Texas, interim president of John J. Pershing College in Nebraska, and chaplain/assistant professor of religion at Nebraska Wesleyan University.

He is the author of many scholarly articles in the areas of social ethics, international politics, economics, and higher education, and co-authored *The State of Sequoyah* with Daisy Decazes. He has served as an officer of a number of education organizations and was president of the National Association of Schools and Colleges of the United Methodist Church.

Chapter 5

The Independent College and University President as Educational Leader

Jerald C. Walker
President
Oklahoma City University

If we analyze the qualities of the more celebrated or effective leaders of our time, we would conclude that the only quality they had in common was their ability to lead. Their personalities, styles, techniques, characteristics, and personal habits were as different as the circumstances in which they exercised their leadership and, in many ways, as conflicting as the backgrounds from whence they came. Yet somehow they were able to prompt their constituencies to follow them and thereby succeeded in translating their programs from theory to action, from the drawing board to the bottom line. In so doing, they took their organizations from the depths of despair to the glories of victory.

On a smaller scale, we reach the same conclusions if we examine the performance of independent college and university presidents. There are probably as many methods of achieving success as there are institutions in which to achieve it, and any particular successful method is not universally applicable. President Wonderworker may have performed a "miracle" at Red River College in Smalltown, but when President Copycat did exactly the same thing at Blue Valley College in Littletown, he failed miserably. Indeed, the trustees of Green Acres University were so impressed with Wonderworker that they stole him from Red River by offering an enormously remunerative contract only to experience an unfortunate result after the same leadership techniques were applied to their situation.

It should be apparent, therefore, that just as different situations demand different applications of effort, so, too, different circumstances need different qualities

of leadership.

Hence, the key to understanding leadership lies not so much in the qualities of the leader as in the situation or circumstances to which the leader must address those qualities. Consider Lincoln without the issues of slavery and the war between the states, or Churchill without the threat of Hitler or the availability of the wireless radio with which he rallied an empire. Consider the college and university presidents who made their reputations—or lost them—as a result of the campus turmoil of the late 1960s.

It may be unfair to say that the achievement of a president who inherits and builds upon a successful program is less noteworthy than that of a chief executive who takes an institutional disaster back to sound operation. Nevertheless, it is a fact of life that the greater the challenge in adversity, the greater the achievement.

Sometimes, merely sustaining the status quo requires a yeoman effort. But if the president merely sustains the status quo at a time when change is required, he or she has failed in leadership and will bequeath a "time bomb" to the next president. On the other hand, the president who takes new directions just for the sake of something new, when he or she should have heeded the axiom "If it's not broken, don't fix it," has also failed in leadership.

It would seem, therefore, that the most important requisite for a college president is the ability to analyze the prevailing situation correctly, to see what caused it and what will be necessary to correct or sustain it in the context of the future needs of the college and, in the process, to fulfill the terms of the institution's charter and the goals of its mission statement. Only then can the appropriate qualities of leadership be applied, nurtured, developed, modified, and tested. Yet even then, success or failure may depend on circumstances beyond the leader's control.

For example, it was the studious and patrician Robert E. Lee who surrendered a gallant army of volunteers backed by an agrarian economy in a "land of cavaliers" to the brusque and plebian Grant who led a force of conscripts fueled by the industrial might of the North. Few would argue who was the greater leader, better soldier, finer man. Yet Ulysses S. Grant later became president of the United States, and Lee merely an independent college president. The circumstances were beyond Lee's control.

For the purposes of this essay, let us imagine a particular small college that is suffering from the problems common to all too many independent colleges: inadequate endowment, physical plant in need of repair or replacement, declining student enrollment, somnolent alumni, a staff that came with the ivy, a faculty faction that wants the ivy removed, an athletic department under fire, a board of trustees filled with factionalism, a local economy racked with recession, and a public that is more interested in the latest public school teachers' strike than it is in college affairs.

As the new president ponders a first move, he or she receives a call from a classmate whose 18-year-old child has a 1.31 GPA and barely broke 600 on the SAT, but is truly talented and only needs a small chance at the president's college to achieve superior performance.

In this situation—as in so many others—one of the most desirable presidential characteristics to have is a sense of humor. While no one would deny that this job

is serious business, the president must never take himself or herself too seriously. The ability to laugh, or at least manage a wry smile now and again, acts as a relief valve not only for the leader but also for those who indirectly share the pressure and tensions of the position.

Let us also assume that the president comes to the position after appropriate preparation, that is, he or she has become familiar with, at the very least, most of the specifics as well as the dimensions of the task to be done. The axiom that in order to solve a problem, you must first clearly define it is all too true.

Before accepting the job, the prospective president would do well to look at the institution's charter, mission statement, last regional accreditation documents, financial books, admission procedures, academic programs, and faculty structure. If possible, he or she should also visit with as many of the individuals involved as practical. It's essential that the new president and the trustees work out a clear definition of the president's authority and its limits. This is important because immediately upon inauguration, the new president must hit the ground running. The greater the problems, the quicker he or she must begin to act.

Modes of leadership

Faced with this institutional scenario, a college or university president may choose one of four basic modes of leadership. The first choice is that which Lewis J. Perelman calls the "null" alternative. By opting for this non-leadership mode, the president either consciously chooses, or chooses by default, not to exercise leadership. He or she plays the role of neutral administrator or follower of the majority of the faculty or any other such power structure.

Presidents following a neutral course often find it has no future. Doing nothing in a time of institutional stress is not a real option. What does the "null" leader offer to a sinking or lurching ship? As Perelman suggests, such a president will either go down with the ship or be relieved of duty, not to find another command.

The second mode is the president as "adversary." Here, the president is not the senior colleague in the educational enterprise, but an adversary of both the faculty and student body. He or she is essentially a negotiator, not an educational leader. A president may be forced to assume this role by a surly faculty or an unruly student body. One of the profound problems of this alternative is demoralization of supporting publics. The publics that support the college will not continue to support an institution the president of which is cast as adversary. A president in this role may well signal the beginning of the end for a financially pressed institution.

A third alternative is the "bread-and-butter" model of college or university leadership. The president raises money and does whatever is necessary to stave off institutional collapse. Institutional survival is the paramount goal and the ultimate virtue. A bread-and-butter president may promote pedagogic change; he or she probably finds new forms of vocational/career education attractive, but the orientation is primarily economic.

Perelman is certainly correct when he suggests that the future of American higher education would be bleak and decadent if the majority of independent colleges and universities were to opt for this bread-and-butter leadership. Such a chief executive is basically a mercenary with no commitment or allegiance beyond survival.

The fourth and surely the superior option is academic leadership. Here the president is the senior colleague in the educational enterprise. He or she serves as manager, politician, mediator, chair, bureaucrat, entrepreneur, catalyst, judge, firefighter, and budget balancer in order to exercise effective administrative and educational leadership.

Some faculty will resist defining presidential leadership in terms of educational leadership. These folks are apt to see the faculty as the "de facto," if not "de jure," preeminent power in institutional governance; they would relegate the president and the governing board to a secondary or even tertiary role. They prefer—and sometimes insist on—modes of presidential leadership that are devoid of the authority necessary for the president to participate in institutional governance in a determinative manner.

Governance

To promote the health and growth of the college or university, the president must have the courage and the freedom to lead. He or she must assume the responsibility of leadership and bear the consequences of action. To be an academic presidential leader, he or she must have the ability and the freedom to create measurable institutional goals based on professional insights and input from various segments of the applicable academic community.

Warren Bennis says an independent college president must be allowed to proceed toward these goals without being crippled by bureaucratic machinery, faculty, or a governing board that saps energy and initiative. He or she must not be afraid to propose strong courses of action or to take the risk of embracing error, to utilize maximum creativity, and to encourage the college's faculty, staff, and students to do the same.

Nevertheless, as we examine the more specific areas of presidential leadership—governance, administration, curriculum, admissions, and relationships to external forces—we should ponder Irving Kristol's observation that the surest way never to become a college or university president is to let it be known that you have a philosophy of education. Inherent in this paradox is the necessity for the new president to frame his or her efforts to achieve a new vision of the institution in a series of ad hoc approaches to specific problems or situations. Each of these approaches may be criticized or may even fail without affecting the overall program or comprehensive "game plan." Trying to promote too broad and idealistic a philosophy or game plan can lead to failure.

Consider, for example, Woodrow Wilson's experience with the League of Nations. After a celebrated career as an independent university president and state

governor, as president of the United States Wilson was unable to convince his countrymen of his cosmic view of a system of world governance that might have prevented the repetition of a world war. His concept was so idealistically all-encompassing that it was easily defeated by the actions of lesser men.

We should be warned by this example: A wise leader does not give the critics too large a target.

It may be best if the president's vision of where the college or university should be 25 years from now—and that's not too broad a time frame for which to plan—is known only to the president. Publishing such an all-encompassing goal only invites intense debate. And there will be quite enough debate about specific projects and their interrelationship as the president's program goes forward. To be effective, the president's vision and forthrightness must be accompanied by political and diplomatic skills that will be tested to the utmost.

To suggest such a powerful presidential role in governance, however, is not to ignore the role of a system of checks and balances. Checks and balances are needed, and they should be clearly defined in governance documents, but they should not be designed so as to make effective executive leadership all but impossible.

A key fact here is governing board recognition of the distinction between making policy and being involved in administration. Trustees are not college or university administrators, and when they fail to recognize this important principle, institutional unhappiness often follows. Further, the demands on the president's time are already excessive. His or her effectiveness can be lost if, in addition to other demands, he or she is continually bogged down in consulting, pleading, temporizing, and putting out institutional fires. Before making major decisions, the president should be expected to consult the various segments of his or her institution, but there should be clear limits on the extent of consultation required.

A president who gives effective academic leadership to addressing the perils facing independent higher education must impose effective control over administrative, academic, and fiscal affairs. Effective control means no significant decisions regarding dollars, personnel, academic programs, admissions, and significant equipment are made without the president's involvement and approval. Effective control means that the president has the authority and freedom to act.

While there should be a means for internal protests of presidential decisions, when an institution's governing board reaches the point where it can no longer allow the president to exercise effective administrative control, it is time for the president to seek other employment. Indeed, Bennis is correct when he suggests that most college and university arrangements for governance fail to provide necessary mechanisms to protect the president.

For example, shifting demographic and employment patterns require presidents to curtail or eliminate some academic programs, add new programs, and strengthen others. Such shifts may mandate personnel changes. Internal conflict inevitably follows. Unless the proper adjustive mechanisms are available, the president becomes entangled in and vulnerable to the conflict, and his or her leadership is weakened. This example illustrates how important it is that the governing board institute or maintain mechanisms that protect the president and enable him or her to lead in all areas of responsibility.

Administrator

As a chief administrator committed to academic leadership, the president must work to achieve continuity within the academic community. He or she must consider the recommendations, often contradictory, of various schools, divisions, departments, committees, and individual staffers within the institution and call on outside resources when necessary. This course of action is necessary if the president is to develop a holistic view of the institution's needs so that he or she can choose thoughtfully between alternative courses of action.

Faced with this task, I have found the "competing elites" approach to decision making a useful tool. This approach enables you to address complex administrative and academic problems that require analysis from many points of view and that encompass a variety of specialties. Such an approach assures that major institutional problems are not assigned to an administrative specialist for analysis and development of a single solution, but that a variety of sources provides both analyses and possible solutions that ultimately compete for assent and actualization. Faculty-staff committees as well as individual staff members need to participate in this competitive process.

The competing elites method provides other benefits. For instance, it offers a means of fulfilling the president's basic management responsibility to create an environment that will enable faculty and staff members to create and realize individual opportunity. It is management's responsibility, in short, to create the circumstances that allow individuals and segments of the institution to develop and execute successful plans and programs that enhance their well-being in particular and that of the college or university in general. Management should not be expected to deliver successful programs in which faculty and staff personnel passively participate. Colleagues in university management who grasp the importance of this point should be rewarded; and those who fail to understand the nature of managerial responsibility should not be rewarded. Nor should the competing elites method be restricted to administrative procedures.

The president as chief administrator and academic leader should insist on several standards of "success." For example, faculty success should be judged in a variety of ways. While not necessarily popular in "publish or perish" circles, excellence in teaching should be honored. The faculty member who is creative in terms of curriculum development deserves respect and reward. Those who help create and sustain significant co-curricular learning situations should be recognized with appropriate appreciation. Research and publishing should be rewarded, but on the basis of the quality of the contributions rather than the quantity of published material. We must always remember that the president is responsible for the effectiveness of his or her institution's personnel, including faculty. It follows, then, that the president must have the authority to ensure effectiveness.

Curriculum and admissions

Presidential leadership in curriculum and admissions is also very important. In most institutions, faculty committees and councils exert the significant influence on curriculum. This is certainly true in terms of day-to-day decision making. A president of an independent college or university should be grateful for this sharing of the load. Yet the president must also expect to be concerned with policy decisions affecting courses of study and overall curriculum design so that he or she can ensure that those responsible for implementing policy do so in a manner genuinely consistent with current policy.

As we know all too well, faculty tend to separate the administrative from the academic; thus, the faculty may resent and resist any presidential influence in curricular matters. The faculty may feel the same way about trustee involvement in curricular design, goals, and policy. In the best of situations, a president must be especially articulate in defining his or her role in this area and use political savvy in promoting his or her influence and in insisting on the proper role of the trustees as the final determinators of all policy decisions, academic or otherwise, within the institution.

An institution's curriculum is no better than the students it seeks to educate. Because of this, admissions policy is most important to the health and well-being of an independent institution of higher learning. Again, faculty tend to see this area as exclusively within their control, but in a healthy situation, admissions policy is determined by a combination of faculty wishes and trustee/administrative judgment. A president wishing to influence the academic program will seek to influence admissions policy in keeping with the institution's goals and standards.

The institution's standards should be determined by its desire to excel in rendering effective educational service rather than by simple demographic considerations. There is but one way for the independent college or university to compete with publicly supported institutions and that is to provide a better product. Because independents will never be able to offer a more attractive price, they must sell effectiveness and quality. Educational effectiveness and quality will attract students as well as the funds necessary to provide the appropriate programs.

Thus, the president must assume the dual role of student raiser as well as fund raiser. As is ever the case, effective communication is the key, and presidents have excellent opportunities to reach prospective students. Such opportunities are all too often ignored by independent college and university presidents.

By all means, the institution should use advertising and other standard methods of promotion, but the president should also use the power of personal contact. Too many presidents overlook the most rewarding efforts—personal visits to high schools, luncheons with high school counselors, visits with clergy groups, etc. Principals are often, for example, delighted and flattered when a college president addresses an assembly of their students. At the very least, the president should develop a beneficial relationship with principals, high school counselors, and clergy throughout the institution's service area. There is no more direct approach to a college's primary market and none more cost-effective.

Such personal appearances do place a demand on the president's time, but if he or she is on the road, it would be foolish not to take advantage of the occasion and schedule a visit to the local high school or with a group of area high school counselors. The same applies to faculty and administrative staff. The president who takes advantage of such opportunities for direct involvement in admissions activities of the kind described above will in the process gather valuable information about the ways his or her institution is perceived by its various admissions publics.

External forces

Finally, we need to consider briefly what may well be the most demanding aspect of the president's role as educational leader: his or her relationship with external forces. As Bennis says, "Paradoxically, while there is no institution more vulnerable to, and hence more dependent on, external forces than the American university, its faculty, students, and administrators tend to ignore or deny these forces."[1] An effective independent college or university president must be especially adept at dealing with the external forces on which the well-being of the institution is contingent. A person without such skills should avoid the presidential role.

More than anything else, dealing with external forces involves two major exercises: getting out of the office and asking for money. It is amazing how many excuses presidents, staff, and faculty can find to remain within the warm and comfortable womb of alma mater. Whether it be the result of laziness or fear, or both, without such direct presidential involvement in development the institution will not prosper and, possibly, will not survive.

While not all external forays involve direct fund raising, whenever the president goes out, even if only to dispense information about what is happening on campus or to provide a meaningful institutional presence to a civic function, the goal should be creating or reinforcing some form of support for his or her institution. If the president is able to find capable colleagues on the staff or among the faculty to assist in these efforts, all the better. However, at least half of the events will demand nothing less than the president's personal presence.

Often the president's excuse for remaining in the office, especially to avoid involvement in development and admissions activities, is the assertion that he or she will get into the field as soon as an adequate institutional planning process is in place and an adequate development support program is operative. Presidents and development personnel often believe that they cannot act until the records are straight, or the files are fully investigated, or the prospect lists are once again reviewed. Nonsense. The new president always has the luxury, at least the first time around, to expect courteous treatment from prospective donors with whom his or her predecessor may have struck out. Besides, the president who visits a prospect will bring back more real intelligence than development staff could come up with in a month's investigation of the files. Moreover, circumstances usually dictate that simultaneous organizing and acting are necessary to stem the fiscal hemorrhaging that is apt to be threatening the institution's financial and academic

well-being. Remember, most new presidents must hit the ground running.

Of course, the president can't be out of the office all the time. Circumstances and the president's institution should determine the proportion of time spent outside to time spent in the office.

To give proper educational leadership, the president must put priority on those tasks that advance the fiscal and academic health of the institution. For example, the president who wishes to be an effective academic leader cannot also function as dean of students. Unfortunately, some presidents who were deans become president in name only and actually remain functionally a dean. But the president who would be an educational leader has too many demands on his or her time to have an absolutely open-door policy for students or faculty. This is not to suggest that students and faculty should be ignored. Instead, the president must use judgment in determining how much time to spend visiting with students, faculty, and staff, and increase this time only when extraordinary circumstances require.

As I have pursued the goals of educational leadership in my career, I have been teased at times for being a university president intent on pursuing three F's—Freshmen, Friends, and Funds. As this essay shows, I know these areas to be vitally important to the health and growth of any independent college or university. The three F's should be high priorities for the academic leader. A president who is reluctant to get out of the office and pursue these goals may well achieve another F—Failure.

While the different experiences a president of an independent college may have would fill the pages of this book, most would be interesting but not necessarily instructive. As I said earlier, what works for Red River may not fly at Blue Valley. There are no secret formulas; there is only good sense uncommonly applied. While good luck is always welcome, it is never assured. And even the president who has all the necessary abilities must have the three qualities that transcend all others: Work. Work. Work.

Note

[1] Warren Bennis, *The Unconscious Conspiracy: Why Leaders Can't Lead* (New York: AMACOM, 1976), p. 9.

Selected Resources

Askew, Thomas A. *The Small College: A Bibliographic Handbook.* Washington, DC: Council for the Advancement of Small Colleges (now Council of Independent Colleges), 1978.

Bennis, Warren. *The Unconscious Conspiracy: Why Leaders Can't Lead.* New York: AMACOM, 1976.

Burns, James MacGregor. *Leadership.* New York: Harper Colophon, 1978.

Fisher, James L. *Power of the Presidency*. New York: American Council on Education/Macmillan, 1984.

National Commission on United Methodist Higher Education. *A College-Related Church*. Nashville, TN: 1976.

Niebuhr, Reinhold. *The Nature and Destiny of Man*. New York: Charles Scribner's Sons, 1941.

Perelman, Lewis J., Maguire, J.D., and Gallagher, Buell G. Essays in *The President as Educational Teacher*. Washington, DC: Association of American Colleges, 1976.

Peters, Tom, and Austin, Nancy. *A Passion for Excellence*. New York: Random House, 1985.

Silone, Ignazio. *Bread and Wine*. New York: New American Library, 1955.

Tillich, Paul. *Love, Power, and Justice*. New York: Harper and Row, 1955.

Louis C. Vaccaro

In the field of planning for small colleges, Louis C. Vaccaro, president of the College of St. Rose, is one of the most active and respected researchers. He brings a unique perspective to this important research in that he is not only a trained scholar but also an active president with much experience in the demands of that role.

Before assuming the presidency of St. Rose, Dr. Vaccaro served as president of Siena Heights College in Michigan, Colby-Sawyer College in New Hampshire, and Marycrest College in Iowa. He has also served as academic vice president of the University of Portland in Oregon.

Dr. Vaccaro is the author of six books and more than 80 articles, book reviews, and chapters in professional journals, including a study conducted with John E. Miller, *Planning in Small Colleges*. He earned bachelor's and master's degrees at the University of Southern California, a master's degree from California State University-Northridge, and a doctorate from Michigan State University. He held a postdoctoral fellowship at the University of Oregon.

Thus, Dr. Vaccaro is especially qualified, by training and experience, to address the president's role in planning for the small, church-related college.

Chapter 6

The President and Planning: Management and Vision

Louis C. Vaccaro
President
The College of St. Rose

Planning by colleges and universities, both public and private, has been an accepted fact within higher education since the early '60s. Board members, administrators, and faculty, aware of the forces impinging on the American college and university today, express their concern about the health and vitality and often even the very survival of their institution.

Today the planning of small church-related colleges and universities is what we call "strategic planning"—a term borrowed from business and industry. The need for strategic planning has never been greater, especially for the church-related institution, which must labor under difficult conditions of diminishing enrollments, intensive competition from larger state colleges and universities, and a lack of endowment sufficient to produce a "safety net" during times of contraction and retrenchment.

During over 20 years as a practicing administrator in four church-related colleges, I have come full circle in my opinion of strategic planning. At first I did not believe small private colleges needed this kind of planning. However, as conditions changed and my responsibilities grew, my thinking changed. Eventually I developed an approach to planning that I believe can be replicated in most small to medium-sized colleges and universities. The most important ingredient of this planning model is the renewed sense of institutional purpose that results from an extensive reexamination of the college's mission and purpose. When all constituencies are involved in the various stages of planning, all come to share a feeling of responsibility and commitment to the college's mission.

Successful strategic planning is an inextricable part of the entire fabric of management of any institution, whether it be a factory, bank, hospital, or college. In other

words, strategic planning is not separate and distinct from the process of management. I would go so far as to say that, at every level, planning and management are two sides of the same coin. Planning is essential for good management, and good management is essential for effective planning.

Perhaps, in these difficult times, no strategy is more important to American higher education than the husbanding of scarce resources. Almost daily reports in the media of the various difficulties besetting private colleges and universities—faltering enrollments, escalating costs, and a multitude of other factors—have prompted a renewed interest in an effective planning process.

Who should do the planning?

Perhaps the most critical concern of all is who should do this planning. Here again, drawing on my years of experience, I am absolutely convinced that planning is effective only when everyone within the institution takes responsibility for it, that is, every department, division, administrator, and faculty member must face a variety of questions about the allocation of scarce resources. For example, the following questions are typical of those that emerge each day in the operation of a small private college:

- Should the roof on the library be replaced this year or should it be patched, thereby deferring the cost of its replacement another year?
- Should the mathematics department purchase the six microcomputers that the faculty claim are needed to be competitive with other institutions within the geographical area the institution serves?
- Should the business department hire that extra professor the chair claims will enhance the department's attractiveness and enable it to be more competitive with business departments in comparable colleges and universities?
- Should you, the president, take three days from your already overcrowded schedule to call on foundations that might be interested in supporting the new science hall that is so desperately needed?

Each of these questions involves setting priorities in the allocation of precious resources. And answering these questions constitutes an almost daily dilemma for the presidents of most church-related private colleges—a dilemma that often leaves little time for imaginative planning or reflective thinking.

To my mind, it's a mistake to leave this kind of planning entirely up to the college president. Long-range strategic planning should be everyone's responsibility and, in order to be effective, it should be done at the division, department, and program levels.

While it's the president's responsibility to initiate and sustain the institution-wide strategic planning that involves all constituencies, it's ultimately up to the board to see that he or she carries out this vital responsibility. Boards of colleges headed by enlightened chief executive officers will have no choice: The president will *demand* their involvement in the planning process.

There is no substitute for strong presidential leadership in the development of

a long-range plan. If the chief executive officer is not committed wholeheartedly to the development and implementation of the plan, it will never get off the ground or, if it does, it will cause as many problems as it solves. The president must see to it that not only faculty and staff are engaged in the planning process, but that the trustees are kept apprised of the ongoing efforts and are involved in reviewing the plan from time to time.

Without such input, the faculty and staff will not be committed to the plan and the trustees will not support it or help find the resources to fund it. This is where the true mettle of the educational leader is tested. Does he or she have the foresight and leadership abilities needed to assemble the constituencies around the planning table?

This is one of the big tests of leadership ability. The success of the plan depends on the effectiveness of the chief executive officer in gaining the support, interest, and commitment of his or her constituencies. He or she must also be personally involved and committed to the work necessary for completing the task. Too, the president's effectiveness depends on the quality of the administrative staff and his or her relations with that staff. Presidential leadership is in some part exercised through the central administrative staff—that is, the deans and the department chairs. They, too, must be educational leaders and able managers.

The process of strategic planning

It's important to understand what strategic planning is not. Strategic planning is not an attempt to make future decisions. Decisions made now will have long-term consequences, but strategic planning should not be a set of plans cast in bronze to be used day after day without modification. Strategic planning must be flexible so that it can be adapted to the changing environment. Most important, strategic planning is not simply an aggregation of functional plans or an extension of a current operating budget.

There are two stages in developing an effective strategic plan for any college or university. The first stage is the clarification and articulation of the institution's mission and goals—that is, the institution needs to identify its own distinctive strengths and to state clearly what it intends to pursue as its mission. Establishing the institution's mission and goals is the first stage in the process of deciding how to use its limited resources.

The next stage is the development of strategies that will guide the institution toward its goals. The planners should select strategies that will be consistent with the institution's philosophy and tradition. The plan should identify those specific reasons why students should attend the institution, why faculty should come to teach in it, and why donors should contribute to its support.

It's important to stress the importance of faculty commitment to each stage of the planning process. If the faculty is not strongly committed to the institution's purpose and goals and to the strategies for achieving those goals, planning will fail.

The process of strategic planning will vary depending on the specific needs of

each institution. Some colleges will want to develop a planning process that is congruent with the college-wide budgeting process. Others may wish to develop completely autonomous planning and budgeting units. Whatever method is followed, it should be understood that planning is the setting of priorities, and budgeting is the allocation of scarce resources to achieve those priorities.

We can break the planning process down into seven steps:

1. Involve all college constituencies in the identification, clarification, and articulation of the college's statement of mission and purpose.

2. Through extensive and intensive dialogue, identify specific goals and objectives the institution wishes to pursue in fulfillment of its statement of mission and purpose.

3. Through additional consultation and dialogue, identify those programs and courses necessary for meeting the agreed-upon goals and objectives.

4. Identify and calculate the resources necessary for implementing these courses and programs.

5. Primarily through the involvement of the college budget committee, analyze and compare resources needed to resources available.

6. Develop a series of one-year budgets to identify the allocation of available resources to the agreed-upon programs.

7. Plan and develop a system for periodic evaluation of the plan.

While these steps may seem simple, they require that planners make basic assumptions about the future—always a risky business. For example, a few years ago one well-known college based its long-range strategic plan on the following assumptions:

- The country will have relatively high employment without national disaster.
- Moderate inflation will continue at approximately 4½ percent a year.
- Government expenditures for education will continue to rise during the next 10 years.
- Federal and state scholarships for college students will increase approximately 5 to 10 percent per year.
- Faculty salaries will improve in relation to those of other professions and will continue to improve at the same rate for the next three to four years.

I think we all know what happened during the next four to five years:

- There was a full-blown business recession and continued inflation at a much higher rate than 4½ percent.
- Most colleges had to cut both operating and capital budgets drastically as the result of the phaseout of government support.
- Many colleges had to freeze salaries and/or lay off faculty.
- Colleges began to scramble for students to fill dormitories that had been built under the assumption that there would be no changes in student lifestyles or in educational needs within our communities.

This example shows how important it is not only to base the planning process on correct assumptions but also to review the assumptions periodically.

Perhaps the greatest challenge to the college president who wishes to initiate a planning process is gaining the support of the necessary people and groups and

getting them to perform their share of the planning. College committees work a little differently from committees in other organizations. For example, in order to terminate a meeting that, they feel, has gone on too long, committee members may adopt a resolution they haven't fully considered.

In order to motivate people and committees, the college president must demonstrate his or her commitment to the planning process. Through his or her personal involvement and sacrifice, the president shows that the planning effort is worth the extra effort.

A model for strategic planning

My own approach to strategic planning uses the same management techniques and tools that most plans call for; it involves the constituencies and deals with the problems discussed above. There is, however, an important difference. My approach depends on the development of an ongoing spirit of dialogue about the nature, aims, and objectives of the institution.

In this sense, then, the process is far more than a managerial exercise in planning. It begins to resemble Alexander Meiklejohn's "Great Dialogue." Amherst's well-known president regularly referred to the need for an ongoing dialogue among all segments of the college community in an effort to answer the serious questions of curriculum. It is at once a "community building" exercise as well as an effort in planning for the growth and vitality of the college. It is as much concerned with the rejuvenation of the *spirit* of the institution as it is with the material growth and expansion of the buildings and student body.

My approach should result in the development of highly effective relationships between all those involved in the planning process, members of the governing board, and the chief executive officer of the institution. This means that the president must be more than a manager of people, programs, and facilities. He or she must also be a philosopher, an educational statesman, a person in whom the college constituencies have great faith and trust.

The college community must see the president as a person with great capacity for intellectual thought; with the ability to communicate clearly, concisely, and truthfully; and with the willingness to work twice as hard as anyone else. He or she must have a prudent balance in judgment gained from experience; he or she must have the time and the inclination to reflect and the courage to propose new paths and to discuss them with the unpersuaded as well as the believer. He or she must be able to generate ideas that others will develop, and he or she must be willing to share these ideas not only with faculty, staff, and students, but also with trustees and potential friends of the college.

To my mind, it is the successful application of this viewpoint that makes it possible for the planning process to materialize and succeed. And while there is no easy recipe for developing this viewpoint, it is absolutely indispensable to the approach I advocate.

In a sense, then, successful college planning is directly related to the quality of the educational leadership the institution's chief executive officer provides. To the degree that the president of the college succeeds in establishing and sustaining the "Great Dialogue," planning for the college's growth and development will succeed.

Selected Resources

Brandt, Steven C. *Strategic Planning in Emerging Companies.* Reading, MA: Addison-Wesley, 1981.

Brown, Roberta D. "Dispersed Decision Making: Is It Possible for the Small College in Times of Changing Student Needs and Scarce Resources?" *Planning for Higher Education,* November 1980, p. 30.

Chaffee, Ellen Earle. "Successful Strategic Management in Small Private Colleges." *Journal of Higher Education,* March/April 1984, p. 212.

Curtis, David A. *Strategic Planning for Small Businesses.* Lexington, MA: Lexington Books, D.C. Heath, 1983.

Miller, John Edgar. "Planning in Small Colleges." *Planning for Higher Education,* November 1980, p. 25.

Parekh, Satish B. "Presidential Evaluation Equals Long-Range Planning." *Planning for Higher Education,* December 1977, p. 18.

Steiner, George A. *Strategic Planning: What Every Manager Must Know.* New York: The Free Press, Macmillan, 1979.

Vaccaro, Louis C. *Notes from a College President: Issues in American Higher Education.* Boston: Beacon Hill Press, 1975.

Vaccaro, Louis C. "A Planning Model for Small Colleges." *AGB Reports,* July/August 1979, p. 30.

Vaccaro, Louis C., and Miller, John E. *Planning in Small Colleges.* Blissfield, MI: Blissfield Press, 1980.

Section 5

Growing in the Presidency

Catherine Dunn, BVM

A hard-working, involved board of trustees helps make a college dynamic and vital. At Clarke College in Dubuque, Iowa, this principle, so often given lip service rather than commitment, is reality. With the leadership of the college president, Catherine Dunn, BVM, Ph.D., the board of trustees gives hands-on direction to all areas of its responsibility. Such leadership proved effective not only under the ordinary challenges of college administration but also under extreme adversity. In 1984 Clarke College lost most of its buildings in a fire, but by 1987 the campus had been rebuilt and the college was growing.

In this essay, President Dunn shares insights into the college president's relationship with the board of trustees and his or her role in establishing and working with an effective board.

Before assuming the presidency of Clarke College in 1984, Sister Catherine served as vice president of the Clarke College Corporation and previously as vice president for institutional advancement. A noted expert in institutional advancement, she has served as a consultant in this area for many colleges. She is also a member of the evaluation service of the Council for Advancement and Support of Education (CASE). Before entering college administration, she served as a university professor in education and as a teacher and administrator in secondary education. She received her B.A. in history and education, M.A. in curriculum development and improvement of instruction, and Ph.D. in curriculum development and organizational administration in higher education from Arizona State University.

In 1986 President Dunn was Dubuque's first Citizen of the Year. She has been appointed by Governor Terry E. Branstad to the Iowa Environmental Protection Commission, and she gives active leadership to many professional organizations, among them the Iowa Association of Independent Colleges and Universities, the Council of Independent Colleges, and CASE. Among many civic organizations, she gives leadership to the Iowa Ambassadors Board of Directors of the Iowa Department of Economic Development, the Dubuque Chamber of Comerce, and the Red Cross.

Chapter 7

Building an Effective Board of Trustees

Catherine Dunn, BVM
President
Clarke College

Today, more than ever, the president of a church-related college needs to have a board of trustees that is a resource above and beyond the mere giving of money. Trustees whom we invite to serve on our boards ought to be highly capable and well-qualified professional resources. Their insights from a business, financial, educational, and professional viewpoint are invaluable to the college president.

At a time when presidents are faced with enrollment concerns, when there are fewer traditional age students, when there is a change in demographics in society, when there are fewer sources of financial aid for students, and there are generally more complex problems to be dealt with on campuses, the caliber and quality of a board of trustees can make or break an institution. In fact, the health and well-being of private colleges and universities in the coming years will depend in large measure on the competence of those who are chosen as trustees.

It also is critical that the president and the trustees work together in a collaborative relationship. Show me a successful president and institution, and I'll show you a deeply committed, involved, knowledgeable, and hard-working governing board. Presidential leadership in an institution is paramount, but it won't be effective unless there is total support from a committed board of trustees. They need to work together as a team to make the best decisions for an institution in the short-range and the long-range.

The time to build an effective board of trustees is not in a moment of crisis, but, instead, it should be an ongoing process so that you have the unified board you need when faced with tough decisions. This doesn't happen overnight, but starts

the day you look at a new prospect for the board of trustees. It takes time and effort on the part of the president. However, there are manageable steps that can be taken to accomplish this. Read on for my recommendations as to how I have done this at Clarke College.

Who should be on the board

Selection of board members is a primary function of the board of trustees and the president. If your board does not presently have as part of its committee structure a membership committee, it ought to form one. The committee should consist of not more than five members with the president and board chair as ex-officio members to provide their broad perspective and insights into the needs of the institution. It is also my belief that, since the president must work closely with the trustees, no person should be selected to serve on the board who is not acceptable to him or her.

The first step in forming an effective board is to do an assessment of the present membership. That assessment should look at board membership in terms of background and skills, diversity and balance (ethnic, sexual, age, geographic, social, and political), and needs. A profile sheet suggested by the Association of Governing Boards of Universities and Colleges (AGB) is a good model to use (see table).

Competent boards ought to have a good cross-section of members from various backgrounds. Often the talents that are needed are associated with certain occupations, but others may be found in people of any profession. Whatever the board makeup, the following skills will be needed:

- the ability to raise money;
- the ability to manage money;
- knowledge and general understanding of higher education;
- knowledge of government—federal, state, and local;
- real estate or physical plant expertise; and
- knowledge and ability to understand the relationship of church in education.

When the profile is completed, it should be apparent what qualities are needed for a well-rounded decision-making body. If, for example, your board profile shows that the majority of the members come from the business sector, this board will not provide the depth that your institution needs.

In the selection of new trustees, the committee on membership also ought to look at the particular needs of the institution at a given time. If the institution is about to launch a capital campaign and its assessment of board members reveals a need for more people with financial influence, this factor would surely affect the selection of trustees at that particular time.

You must be very careful, however, if you are considering board members for their financial potential. While this can be a legitimate need, you don't want somebody on the board whose wealth will enable him or her to dictate to the board or to take the institution in a direction that wouldn't be healthy. The role and responsibility of a trustee must be very clear.

AGB SAMPLE BOARD PROFILE[1]

Categories	Present membership 1989	Present membership 1990	Possible vacancies by year 1991	Possible vacancies by year 1992
Age				
70 and over				
60-69				
50-59				
40-49				
30-39				
Under 30				
Sex				
Female				
Male				
Race				
White				
Black				
Hispanic				
Asian or Pacific Island				
Native American or Alaskan Native				
Area of expertise				
Administration				
Agriculture				
Business				
Education				
Finance				
Fund raising				
Government				
Health/medical				
Legal				
Marketing				
Physical plant				
Public policy				
Public relations				
Religion				
Other				
Geographical distribution				
Local				
From state				
Key city(ies)				
Out-of-state				
College relationship				
Alumni				
Parent				
Other				
Financial position				
Independent				
Salaried				
Other				
Church affiliation (if church related)				
Length of service				
Over 10 years				
5-10 years				
2-4 years				
1 year or less				

© 1980. Association of Governing Boards. Reprinted with permission. All rights reserved.

If the bylaws of the institution require a certain number of members of the affiliated church to be on the board, this should certainly be included in the profile. While all trustees may not be members of the sponsoring church, the religious persuasion of the trustees must be in harmony with the mission of the institution.

At Clarke, for instance, the president, the vice president, and the treasurer of the sponsoring religious congregation are ex-officio voting members of the board of trustees. We have eight members of the religious congregation and 25 lay people on the board. Three trustees are not Catholic, but they believe strongly in the fundamental mission of the institution.

It is my belief that the profile of the board should not include members of the faculty or students as voting members. Faculty and students are internal constituents of the institution and their membership would constitute a conflict of interest. Their input is vital to the board, however, and will be discussed under "Board committees" below.

Once a profile of your institution has been done, the membership committee should look at trustee responsibilities. If the statement of responsibilities has not been compiled by the institution, then the committee should create one for the board's approval. If the institution is to attract and hold competent and highly qualified trustees, these trustees must know their responsibilities. Therefore, a complete and accurate statement of trustee responsibilities is critical to board membership. As church-related institutions, we need to be sure that both the mission of the college or university and the responsibility of trustees to that mission are abundantly clear.

Responsibilities of boards of trustees

While I won't go into detail because there are some very good publications on this subject (see "Selected Resources" at the end of this chapter), I will list here the major legal and moral responsibilities of a board. These will vary according to the institution, but will on the whole include:

1. to appoint the president;
2. to support the president;
3. to assess the president's performance;
4. to clarify the mission;
5. to approve long-range plans;
6. to approve the educational program;
7. to ensure financial solvency;
8. to maintain the physical plant;
9. to preserve institutional autonomy;
10. to enhance the public image;
11. to serve as a court of appeals;
12. to be informed; and
13. to assess their own performance.[2]

Identifying potential board members

Searching for potential trustees should not be an isolated task of the membership committee of the board of trustees. It should be a task shared by the president and the institutional advancement office as well.

Once the membership committee has identified what is needed on the board, this information can be relayed to the advancement office. As part of their work, the college advancement staff, which includes development, alumni, and public relations personnel, should be on the lookout for potential board members. They should, in turn, keep the president informed of potential trustees whom the membership committee can then review.

Members of the board, too, should be constantly alert for prospective trustees. Once a year I give a form to my trustees on which to list potential board members. In this way, I touch base with them and give them the opportunity to bring to my attention any people they think would make significant trustees.

Evaluating prospective trustees

The president, with the membership committee, must look at each potential candidate. Prospects should be matched to the needs of the institution. Other important factors to be considered are whether the potential trustee has a feeling for the institution and time for the commitment and whether he or she plays a significant leadership role in the community.

Frequently, it is advantageous to involve the person in some aspect of the institution—as a speaker or chair of a fund drive, for example—so that you can evaluate the prospect in an active relationship to the institution. Whatever the method, it is important to affiliate the person in some way before you appoint him or her to the board of trustees.

Once the research on a potential candidate is complete, it is time to approach the prospect. This can be done by the chair of the board, a trustee, the president, or any combination of these people. At this point, you need to ask the candidate if he or she is interested and willing to make the commitment. Don't ask the prospect to join. It is better to start by saying, "We have some vacancies on our board and are interviewing some potential candidates to see if they would be interested in becoming a member." This is a very sensitive part of the process. That's why it's important to tell the potential trustee that the board has several other candidates to consider. Then, if the person isn't selected after your interview, he or she won't feel personally rejected and may still be willing to serve the institution in other ways.

You should then talk about the mission of the institution and the responsibilities that trustees incur and ask very directly if the person believes in and can be committed to the institution. It is important to talk about the scope of the commitment. It *is* a big commitment and not one to be undertaken lightly. Very frankly, I don't think I'd get to this stage of the process unless I was convinced that the

prospect was ready to make that commitment.

It has been my experience that this approach of total openness creates wonderful opportunities for dialogue with the potential board member.

Orientation of board members

Once new trustees have been appointed, they should spend at least a day on the campus prior to their first board meeting. They should become familiar with the daily functioning of the institution and spend time with the major administrators in areas such as finance, student life, admissions, academic affairs, and advancement. A part of the day should include eating in the student dining hall and attending a class so that the new trustees get a sense of the total institution.

Education should be ongoing for all board members. Don't assume that your long-term members already know everything they need to know. At least twice a year, plan an educational workshop for a day or morning or afternoon to coincide with your regular board meetings. This session should provide opportunities for some new insights about academics, fund raising, or trends in education, for example. In this way, you can stretch your trustees and broaden their viewpoint beyond your particular college or university.

The board that I inherited at Clarke, and a president does inherit a board, was one that was deeply committed to the institution. The first thing I did was talk with them about the educative process and about their openness to having some consultants come to work with us. We employed consultants from AGB to work with board members on the trustee-president relationship and their role as trustees.

Every Clarke trustee receives a subscription to *AGB News* and *AGB Reports*, both of which are published by the Association of Governing Boards. These publications enable trustees to keep abreast of current trends and issues related to trustees and higher education.

The president's relationship with the board

Establishing a good relationship with your board members is vitally important in building an effective board. Spending time with trustees should be a top priority on the president's agenda. One of the basic responsibilities of trustees is to support the president, and they will be better able to do this if they know the president personally as well as professionally.

For example, I invite trustees to my home for dinner or we go out together. I also spend a lot of time with my board chair and with the members of the executive committee of the board. We each need to know how the other operates, how the other thinks, how the other works.

It's important that trustees develop a relationship with the institution that comes from more than attending meetings. They should be invited onto campus to concerts, sporting events, lectures, and other activities. Before or after campus activities,

hold social events for trustees and members of your administration, faculty, and staff. Have a cocktail party and dinner before or after meetings.

Spouses of trustees should be included in trustee activities and invited to all social occasions, including those before or after board meetings. I don't know how you can expect a board member to make the kind of personal commitment that is needed of a trustee if the important person in his or her life isn't a part of it.

As a president, I consult my trustees often. I ask their advice on a variety of topics. Some of the advice I use, some of it I don't use, but I do ask them, "What do you think about this?" Or I say, "Let me run something by you. This is the situation that has arisen and we've talked about it and this is what we think we ought to do. How do you respond to that?" My trustees are my most valued advisers, and they respect and appreciate that position.

Communication can be the most important part of the scheme as you build your board. It cements the trust that is needed for the board to function in the most efficient manner. You should share with your board both the good and the bad news, the successes and the failures, in all areas of the institution. The president's role as part of the team includes keeping the other team members informed, not necessarily so they can solve the problems or make the daily decisions, but so that they will understand what is going on at the institution.

I have found it tremendously helpful to send out a monthly letter to the trustees. This letter brings them up to date on everything on campus. At times I label the memo "confidential" because it contains items of that nature. In this way I keep the trustees informed and they appreciate it. Also, when the trustees come to board meetings, I don't have to spend time bringing them up to date on the news of the college, and they don't feel they are making decisions in a vacuum.

Unifying the board

It's essential that board members feel involved. At Clarke we have an executive committee of the board that meets monthly, which I keep apprised and current regarding institutional events. This committee advises me in between our quarterly board meetings. But if the executive committee decides all the important issues at its meetings, then the other trustees will begin to feel like rubber stamps. It is important that the full board feel that its role is more than just approving whatever the executive committee has done.

For this reason you should attempt to involve the other board members in the work of the executive committee before it is time for a vote. My executive committee helps me plan the agenda for the quarterly or regular meetings and, as part of that process, they identify topics that would lend themselves to small group discussion. At the meeting we then break into groups and all work on the same topic, with a member of the executive committee serving as facilitator in each group. This gives us a wider sense of input to the particular item than we would have if we sat around as a committee of the whole and just voted on a recommendation of the executive committee. It also provides trustees who are not comfortable speaking

in large groups with the opportunity to express themselves in small groups.

I can't think of a better way to help people get to know each other than to put them to work in small groups. No one wants to be a board member who is just a rubber stamp. When trustees feel that their voices have been heard, they develop a sense of ownership in the institution and a feeling of real involvement. That's very important.

Board retreats are also effective. Don't always make your decisions around the corporate table.

Board committees

Boards of trustees function most effectively when the responsibilities of board members are organized by a committee structure. At Clarke our committees reflect the major functional areas of the college: academic affairs, admissions/enrollment, advancement, buildings/grounds, executive, finance, membership/evaluation, and student life. The president and chair of the board of trustees are ex-officio members of all committees. Major administrators of the respective areas serve as the college's point of reference on each committee.

In order to give trustees broader insight into the views of the college's constituents, faculty and students are members of some of these committees. This provides interaction in a "controllable" manner and yet allows input from these key members of the college community. Most committees meet between board meetings. Some, such as finance and development, will meet more often because of the nature of their work.

Committees should not meet the day before the meeting of the full board. It's better to schedule committee meetings at least a month before and preferably on an ongoing basis between board meetings. In this way trustees can be effectively involved in a meaningful and supportive way with the president and members of the administrative team.

Board and administration

The control of the institution is indeed with the trustees, but they have to be very clear about their role. Part of the educational process for trustees is that they must learn that they should not be involved in day-to-day relationships in the college. They hired a chief executive officer to do that.

At Clarke I inherited a board that was used to overstepping into administration. Knowing that, before I accepted the presidency, I asked the trustees for a commitment that they would not get involved in the administration of the college. In return, I promised that I would be absolutely honest and share everything with them and hold nothing back. In the final analysis, however, administrative matters would be my responsibility.

Meeting expectations

Board members need to know your expectations of them. Likewise, it is important that you know the trustees' expectations of you. If your board members don't tell you what they expect from you, ask them. When expectations are unrealistic, it's all the more important that they be discussed. The more trustees know about the institution and its procedures, the more realistic their expectations will be. Thus, it's partly an educational process. It takes time and patience on the part of the president who must work with the trustees so that they know what can be done and what is impossible.

In this area as in so many others, a close working relationship between the president and the board will go a long way in developing understanding on the part of the board as to exactly what an administrative staff can accomplish.

Timelines can help too. When board members see what your goals are, they are unlikely to develop unrealistic expectations. At the beginning of the year, I present my board with the goals and objectives set by each administrative area. Then at the end of the year, they get a report on the results. Good trustees will compare the two reports to see how well administrators met their goals.

Board discontent and problem solving

You needn't expect that your trustees will always agree with you or with each other. I do think it is healthy to have heated discussions and give-and-take about important issues at board meetings. When board members disagree with other board members, I always feel that the board feels good about itself, because it can take the opportunity to disagree. But when a vote has been taken and the issue decided, the trustees must support the decision.

When a board member can't support decisions and can't support the president, then something is wrong. The worst thing that can happen to a board is when members leave the room angry that they didn't win a debate. Their roles as trustees have eroded. If that's happening, then there is something wrong with the makeup of that board, and you need to examine it carefully.

If you determine that the "something wrong" is someone on the board who is making life difficult for you and the other board members, what can you do?

One thing to do may be to wait. Many boards set terms for trustees whereby a member serves a maximum number of terms and then must go off the board. Often the bylaws allow a member to be elected to the board again, but a maximum term prevents a board member from staying on the board ad infinitum. Your troublesome trustee could be gone in a year or two.

Sometimes the president and chair of the board must take time to work with the individual to direct his or her influence in the positive direction. If the trustee is powerful and influential, you may need to develop his or her support and make that person feel part of the team.

If that isn't the right approach and waiting is not in the best interest of the in-

stitution or board, you may need to try direct intervention using significant trustees who can relate to the "problem" individual. The goal is either to bring him or her on board in full measure or to encourage him or her to leave the board. This can be a very touchy situation, especially if the trustee is a large donor or influential in the community. Great care must be taken for the individual as well as the institution. Whatever you do, you must use your utmost tact and diplomacy.

The bylaws of your board should include means by which a problem trustee can be gracefully relieved of responsibility and perhaps set terms of office. These tools can be useful in problem situations.

Summary

Building an effective board of trustees is one of the top priorities of the president of an institution. It takes time, patience, and dedication to achieve an effective board, but the rewards are great for the institution as well as the president.

The president, chair of the board, and membership committee must analyze the membership on the existing board, examine the priorities of the institution in the coming years, and identify new members who can best help guide the institution to reach those goals. Once the new trustees are in place, the president must teach them about the college and its mission and develop their sense of pride and ownership in the college. A good working relationship must be nurtured by keeping the board informed of and involved in the events of the college.

An effective board can be a critical resource for a president. Board members can serve as advisers to all areas of administration where their insight and expertise can be invaluable.

The future of the institution is the sacred trust of the president and trustees. The more effectively they can work together, the more confidently they can maintain the right direction for a successful future for their college.

Notes

[1] Robert W. Scott, *Recommendations for Improving Trustee Selection in Private Colleges and Universities* (Washington, DC: Association of Governing Boards of Universities and Colleges, 1980), p. 39.

[2] John W. Nason, *Trustee Responsibilities*, Pocket Publication no. 1 (Washington, DC: Association of Governing Boards of Universities and Colleges, 1986).

Selected Resources

Association of Governing Boards of Universities and Colleges (AGB), Pocket Publications (concerning the role of trustees in the institution), available from AGB, One Dupont Circle, Suite 400, Washington, DC 20036.

Boyer, Ernest L. *College: The Undergraduate Experience in America.* The Carnegie Foundation for the Advancement of Teaching. New York: Harper and Row, 1987.

Chait, Richard P., et al. *Trustee Responsibility for Academic Affairs.* Washington, DC: Association of Governing Boards of Universities and Colleges, 1985.

Ingram, Richard T. *Handbook of College and University Trusteeship.* San Francisco: Jossey-Bass, 1980 (available from AGB).

Nason, John. *The Nature of Trusteeship.* Washington, DC: Association of Governing Boards of Universities and Colleges, 1982.

Scott, Robert W. *Recommendations for Improving Trustee Selection in Private Colleges and Universities.* Washington, DC: Association of Governing Boards of Universities and Colleges, 1980.

Taylor, Barbara E. *Working Effectively with Trustees: Building Cooperative Campus Leadership.* ASHE-ERIC Higher Education Report no. 2. Washington, DC: Association for the Study of Higher Education, 1987.

Zwingle, J.L. *Effective Trusteeship.* Washington, DC: Association of Governing Boards of Universities and Colleges, 1984.

Keith G. Briscoe

All too often presidents of small colleges get so caught up in the ever-pressing demands of institutional advancement, financial development, and administration that they lose touch with the very reason for the institution's existence—students and their development. It's not so with Keith Briscoe, president of Buena Vista College (Storm Lake, Iowa), who believes that a student's experiences outside of the classroom are as important to the quality of the education he or she receives as what happens in the classroom.

Dr. Briscoe became president of Buena Vista in 1975. He had previously served as vice president of the University of Steubenville (now Franciscan University of Steubenville) in Ohio and had held student affairs positions at Baldwin-Wallace College in Ohio, the University of New Hampshire, and the University of Wisconsin-Stevens Point. He received a B.S. from the University of Wisconsin-LaCrosse and an M.Ed. from the University of New Hampshire. Dr. Briscoe has done graduate work at Case Western Reserve University, the University of Iowa, and other institutions.

He has held several leadership positions in professional education, serving as chair of the board of the Council of Independent Colleges, a member of the board of directors of the American Council on Education, and chair of the Association of Presbyterian Colleges and Universities.

Chapter 8

The President and the College Community: Student Services—The Second Curriculum

Keith G. Briscoe
President
Buena Vista College

The least expensive students to recruit and possibly the brightest are on your campus right now. Whether you keep them or lose them will depend on how you treat them.

It's not easy to prepare a primer on student services for a new college president with little or no background in the subject. If you set aside individual circumstances such as personal management style, the quality and quantity of staff and facilities, and the unique nature of each institution, you are left with little more than generalities. Thus, of necessity, this essay is not a text based solidly on quantitative research findings but rather a personal statement based on my own experiences and perceptions.

When *Courage in Mission* editor Duane Dagley asked me to contribute to this book, he also asked me why I had become a college president. My answer was that 11 years ago I had become disenchanted with working for presidents whose primary concern was not students. After spending over a decade in the hot seat myself, however, I understand exactly how they got that way. Myriad daily demands are made on college presidents. Good presidents are constantly under the pressures of long-range planning, fund raising, personnel development, fiscal management, and even trustee relations. It is all too easy to set aside those aspects of our

concern for students that are not, so to speak, clamoring at the door.

This is not to deny that all functions of a college administration ultimately benefit students, but I believe that we, as college presidents, need to have more direct contact with and concern for all areas of student development.

If you have a thorough and rigorous academic environment, student services can be a key factor in an outstanding admission and retention program. On the average, student services directly affect nearly 60 percent of a student's campus experience. This figure assumes that the student spends 15 hours a week in class, 10 hours in a work-study job, and three hours studying in the library for every hour in class. If the student studies in a dorm or the college union, this percentage increases to about 85 percent because both are areas for which student services is directly responsible. Therefore, the importance of student services on a residential campus cannot be overstated.

Consider all the areas of students' lives impacted by student services. First, student services provide for their physical needs—housing and food. Next are the social needs: programming to provide social, cultural, and recreational opportunities for a wide range of individual tastes and experiences. Then there are emotional needs: Student services must foster a campus atmosphere that is both secure and challenging. This kind of atmosphere promotes student involvement because students not only feel comfortable but they also feel a sense of responsibility for their interactions with faculty, administrators, and peers. They can organize or participate in groups through which they can identify and distinguish themselves.

Student services must also provide personal counseling for a wide range of needs—academic, social, or psychological, as well as career and placement assistance. Add to these responsibilities all the management tasks involved in effectively administering a major campus service, and you will have some measure of the impact student services has on the entire campus environment.

A thriving campus is one that is continually evolving. Today's students are often compared to those of the '50s and early '60s and contrasted to those of the Vietnam era. Such a simplistic view of sociological cycles can be dangerous in higher education—and elsewhere. It can promote complacency. In fact, I have seen this attitude lead a few college presidents right out the door. They created a campus environment that was comfortable for themselves, the faculty, and the trustees of the institution, but they stifled the growth of the campus and their students' educational opportunities.

A student's "deprivation status"

To stay abreast of ever-evolving student needs, a president must understand what I call a student's "deprivation status." Deprivation status simply means the degree to which students are motivated to act upon or respond to a given circumstance or situation. According to psychologist Abraham Maslow, all people have a hierarchy of needs beginning with basic physiological needs such as food and shelter.

And although college presidents may prefer to ignore it, one of the basic physiological needs is sex. It is wise to keep this fact in mind although we may not choose to base institutional policy on it. Unlike the need for food and shelter, the sexual drive need not be satisfied per se, but it plays an important role in the lives of young adults.

In Maslow's hierarchy, once the physiological needs are satisfied, safety is next, and after safety comes the need to belong and be accepted. The individual seeks social interaction and warm supportive relationships. This need is critical to the traditional undergraduate who has left the supportive relationship of family for the first time.

The next level is the need for esteem within the social structure. Social esteem satisfies the need to be recognized and respected for achievements, authority, or power. Social esteem provides ego satisfaction which leads to the capstone in the hierarchy, the need for self-actualization of the individual—that is, to become the best that he or she can be.

To illustrate how a student's deprivation status and Maslow's hierarchy of needs affect student services, let's consider the campus turmoil of the late '60s and early '70s. In the late '60s, campuses were dealing with the first generation of young people since the 1920s whose lives had not been impacted either by severe economic depression or by war. These were students whose needs for food, shelter, and safety had never been seriously threatened. This was also a very social generation. Their social needs had been satisfied at the youngest age in the history of society, through such organized activities as scouting, church youth groups, and school programs.

This left them in need only of esteem or ego satisfaction. Thus, campuses became a collection of individuals seeking ego gratification. Students sat on faculty committees for the first time; a few were seated on the board of trustees; and college newspapers became centers of political opinion and investigative reporting. Greek organizations, which represented the status quo, went into decline, as did other campus organizations that did not espouse a political philosophy or provide another means whereby individuals could distinguish themselves from the group or attain a higher level of social esteem.

One department on campus kept pace with these changes—the athletic department. Athletes, like other students, were seeking ego strokes. Coaches adjusted well to this new spirit by shifting from a practice of having one team captain to having one for offense and one for defense, and then to a new set of captains for each game. In the final game, all seniors were captains. As the rest of the campus became more tumultuous, the athletes became more isolated. That was fine with the coaches. At large universities, the athletes moved to their own separate dorms, ate in separate cafeterias, and even took separate courses. The coaches were in complete control. They held the rewards the student athletes sought: their pictures on posters, invitations to the coach's television talk show, private dinners with influential donors, calls from the governor, and big professional contracts.

Meanwhile, back on the main campus, radical organizations gave many students the sense of belonging once provided by more traditional campus groups. A stu-

dent could stop a squad car and stand on top of it shouting political rhetoric and then go home and see himself or herself on the six o'clock news. Now there was ego satisfaction!

Professionals in student services couldn't handle this situation. They had been trained to deal with relatively minor social problems on an individual basis, but this new breed of student based their antiauthoritarian behavior on abstract principles and augmented their consciousness with chemical substances. As the highest authority on campus, the president and his or her office became the symbolic target for student frustration with "the system." Helpless administrators turned to student government to control the campus. But without the power base once provided by traditional campus organizations, the student government was also helpless. Nevertheless, its participants had their own ego needs. Soon student governments began tinkering with the system, trying to change grading systems, residence hall policies and hours, alcohol regulations, and anything else that would give them some community status and power.

It's ironic to consider that students demanded the end of the Vietnam war by giving an academic institution a list of demands. Or is it? Remember Maslow's hierarchy of needs. Because the academic community gave students a sense of belonging, they felt at liberty to influence its policies. In fact, institutional policy was virtually the only thing they *could* influence that would send a signal of their power to society at large. And their personal safety was at stake. Only the national draft policy stood between them and the battlefields of Vietnam.

Perhaps the strangest antiestablishment attack came on the grading system. To meet this crisis, many outstanding institutions established a pass-fail system. The students had their ego-satisfying victory. The pass-fail system also kept many borderline students safe from the draft. But soon students with strong esteem needs wanted fail, pass, honors, and highest honors. All they had finally accomplished was to narrow the distinction between a "C" and a "D," to the detriment of the majority of students.

When we consider this period in terms of Maslow's hierarchy of needs, we see that the students of the Vietnam era were reacting to societal and campus policies that threatened their own personal needs. The student personnel staff of the late '60s had not realized that the social needs of students had evolved; that high schools were now sponsoring activities that had been traditional on the college campus of the '50s. The student personnel staff was not prepared, either professionally or organizationally, for these socially advanced students. And the needs of today's students are no different from those of the Vietnam era. The social values of both students and the larger society have changed, however, and the result has been significant changes in campus policies.

Today's students arrive on campus already socially mature and accustomed to having their basic needs more than adequately satisfied. And student services has the responsibility of continuing to provide for all levels of student needs. An inefficient food service or greatly deferred dormitory maintenance will create problems just as surely as an inadequate social program. Student services must view all levels of the hierarchy of needs as positive functions of human nature if our ul-

timate goal is a nation of self-actualized citizens. It is the task of student services to create a campus environment that rewards these positive functions. A campus that does not reward this positive behavior will find students seeking a more supportive environment—at another college.

Today's students (and their parents) are sophisticated consumers, accustomed to getting their money's worth. Since we are all competing for our admissions share from a declining pool of qualified students, it is apparent that we must meet individual student needs to the best of our ability. I am not suggesting for a moment that any institution can or should be all things to all students. Sometimes the best service to an individual is to encourage him or her to try another institution. In the majority of cases, however, simply providing a positive experience for students can dramatically reduce attrition. It also has another less obvious but important result: It produces satisfied and positive alumni who are major assets for your admissions and development programs.

How do you provide a positive undergraduate experience for your students? Alexander Astin of the University of California, co-author of a major report, *Involvement in Learning*, points out:

> Students are most likely to feel positively about their undergraduate experience if they have been able to make a significant investment themselves, if they have exerted a significant effort, and if they feel the institution has been similarly involved in an attempt to create a positive and beneficial experience for the student. Faculty involvement is critical here: To put it as simply as possible, the more direct contact there is between faculty and students, the better. But administrators and student affairs personnel also have an important part to play. If students believe that administrative actions and student personnel policies and services are designed primarily for the benefit of the student and are effectively implemented, then the student is much more likely to develop a positive view of his or her educational experience.[1]

Orientation programs set the tone

An effective student services program begins the moment new students arrive on campus or even earlier. Orientation programs should set the tone and establish the importance of the four-year relationship students will have with student services. "The first six weeks on campus are the most important and critical," according to Lee Noel, a pioneer in the field of retention. "To get students to stay," he says, "you must get them started right. Required orientation that extends beyond the first week and quality academic advising are top priority items."[2]

Most orientation programs misjudge their target audience in one of two ways: They assume either too much maturity and experience on the part of the students or too little. In one case, the students are bored and call the programs "mickey mouse." But if the program planner assumes too much sophistication, the programs are cold and ineffective.

Freshman orientation is a critical transition time. In a typical class you may have a few students who have traveled abroad alone and a few who have never before left the farm (or the suburb or the city), and the rest will be somewhere in between. They have in common the fact that they are young and they are adults. They must be treated as both—that is, they must be treated as people who are in need, as we all are, of a caring environment.

Each of us has made many visits to strange campuses. The visits you enjoyed most were probably those where you were treated most warmly. Were you met and greeted or left to cool your heels in an outer office? Did someone vaguely point a finger in the direction of your next destination or take the time to take you there? At receptions, were you hosted or left to fend for yourself? Was your schedule well coordinated or disorganized? Did it leave you too little or too much personal time? Were you able to get down to business and accomplish your mission, or were people unprepared to assist you?

If we, as seasoned professionals, can be so influenced by our first impressions of a new campus, just imagine how first impressions influence the young adults who arrive for the first time at a place that will be their home for the next four years.

Upper-class students who have been through it all are most aware of and sensitive to the problems freshmen may encounter. For this reason, I recommend organizing a select group of upper-class students to assist in the orientation program. These students should be volunteers who apply, are selected, and trained in the spring. In the fall they should return to campus for a refresher course *before* the freshmen arrive. Their duties should extend throughout the academic year, and they should work closely with student services professionals to alert them to individual problems.

This method will not be effective if it is an isolated activity in the out-of-classroom experiences of students. It must be part of a larger plan for student involvement on campus.

Alexander Astin defines student involvement as "the amount of physical and psychological energy which the student devotes to the academic experience." According to Astin: "A highly involved student is one who, for example, spends a lot of time on campus, participates actively in student organizations, and interacts frequently with faculty members and other students."[3]

Astin's study also pointed out that research on student retention strongly suggests:

> The first year or two of undergraduate work are the most critical in terms of student involvement. If the student has difficulty getting involved in these early years, that student is not likely to fare well in subsequent years. Most college attrition, for example, happens in the lower division years. Thus, one of our major recommendations was that institutions should invest more of their resources in these first years, rather than continuing the current practice of disproportionate investment of resources in the upper division and graduate levels.[4]

To maximize the investment of resources in the early undergraduate years, student services should develop a comprehensive plan that utilizes existing campus resources efficiently and effectively.

The Second Curriculum

Our academic curricula are designed to foster students' intellectual growth as they progress from basic areas of knowledge through more refined and specialized subject matter. So, too, should the out-of-classroom experiences. Just as progressive medical science no longer treats isolated health problems, but attempts to deal with the "whole" person, so must progressive higher education. Students' out-of-classroom experience, or what we at Buena Vista College call the Second Curriculum, has a direct effect on their intellectual growth.

You must create an environment (the Second Curriculum) that is based on the academic program (the first curriculum). The Second Curriculum should be as well thought out as the first curriculum. I do not like the term "co-curriculum" because I do not believe that students should attend a residential college for the sake of "co" or extracurricular activities. The Second Curriculum should not be outside of their academic experience but an extension of it. It should be designed to help students develop skills and talents such as creativity, planning, forecasting, communication, and decision making based upon theory taught in the classroom.

The Second Curriculum is the place where students can satisfy ego needs, gain esteem in an area outside the classroom, and grow toward becoming unique, self-actualized individuals with a desire to fulfill their potential. The Second Curriculum is a kind of laboratory. It translates the abstract learning of the first curriculum into reality, puts theory into practice, and turns experimentation into growth. It is not a system of pass-fail or promotion or dismissal. It develops a student's ability to work with his or her own ego needs and toward a goal for community, family, or corporation. Within the Second Curriculum, a student can achieve esteem through positive action, not negative reaction. With self-esteem (prestige and respect) comes self-actualization.

When a campus becomes a democratic system of recognition and rewards, rather than a mere social structure, it is one of the best places for a student to grow toward self-actualization.

The traditional campus social system of student government, activity board, publications, and Greeks is fine if the only goal is an orderly campus community. If, however, the goal is the maximum growth of each individual student, more is needed.

At Buena Vista College, students may choose to be tested to see what talent potentials they possess. They may seek counseling from an adviser to determine ways to develop their full potential. In this way the Second Curriculum can provide students with a structured framework for participation in campus events and organizations.

The student's participation in out-of-classroom activities is monitored by an ad-

viser. Informal conferences between the student and the adviser are held throughout the academic year. These conferences serve many purposes, but perhaps the most important result is the personal relationship that develops. This student/mentor relationship can provide important motivation and direction for the student, and it forms a transitional bridge for a young person's journey toward self-actualization. Upon graduation, the student is given a transcript that details his or her activities and responsibilities in the Second Curriculum.

The Second Curriculum is founded on the premise that the experiential learning mode is the most effective tool for personal growth. This mode of learning-by-doing provides for a total educational experience that exposes students to new information about themselves and their environment, helps to kindle a sense of moral integrity, provides opportunities to acquire hands-on skills, and stimulates the desire for continual learning. In addition, because the Second Curriculum provides diversified programs that promote intellectual, emotional, physical, social, cultural, and spiritual growth, it offers students the opportunity to build upon their special talents and discover new ones.

Growth is, after all, the mechanism of the educational process. We know that humans develop at different rates physically, intellectually, and emotionally because of a combination of biological and experiential factors. Thus, for any given activity, each student will attain a certain level of achievement within the physical, intellectual, and emotional domains of human growth.

A Second Curriculum should be organized to help students develop to the highest level of achievement in each domain of human growth. But it must also accommodate students at lower levels and assist them in their growth. Such an undertaking obviously requires individual attention and flexibility. Further, to make the best use of limited resources and personnel, each program must not only accommodate the individual needs of many students, but also accomplish a larger objective—variety programming for the whole campus.

For example, one student may join a canoe group because it is good exercise, another may join for adventure, and a third may join because he is experienced and looks for an opportunity for leadership. Another student may have designed a new paddle that she wants to try out while another hopes to overcome his fear of water. The next student wants to experience the sensory elements of nature or to strike up a friendship with someone of the opposite sex who likes canoeing. And finally, a student may join simply out of intellectual curiosity—to find out how a canoe works or how to start a fire and stay dry in a rainstorm.

This canoe group can easily meet each member's needs while accomplishing a larger objective, such as an excursion for the whole group. Prudence would not make the first excursion an extended wilderness trip, however. Before such an undertaking, each student should have the opportunity to test his or her skills, abilities, and reactions in a less stressful situation. As everyone becomes more experienced, the excursions should become more challenging.

A good education always includes carefully programmed challenges that inspire and motivate without intimidating. The diversity of personal growth levels in a typical campus population makes the task of motivation a hard one. Colleges to-

day must deal with students who are sophisticated in technology, consumerism, and socialization. On the other hand, these same students are still basically inexperienced young adults full of ideals, aspirations, and fears and in need of direction and focus.

The Second Curriculum can provide the needed direction and focus. It can encourage the satisfactions of self-giving and self-motivation. Self-giving—that is, learning to give of one's abilities and talents—is one of the most important lessons the young adult can learn. For self-giving is essential to the formation of meaningful relationships, both personally and professionally. Self-motivation is also important to the young adult because it enables him or her to see learning as a lifelong process with its own intrinsic rewards to which grades and other credentials are irrelevant.

The Second Curriculum should be human skills oriented. It should encourage and reward awareness, sharing, sensitivity, motivational skills, responsibility, and creativity as well as leadership. Moreover, the Second Curriculum should provide the opportunity for integrating thought. Too often students slip through a liberal arts education without ever seeing the interrelationship of economics, science, politics, and the arts. They view these areas as separate and discrete academic departments, not as interrelated aspects of a culture. To help overcome this fragmentation, the Second Curriculum should use faculty and staff from varied disciplines as resource people.

The Second Curriculum should also be problem centered. It should expose students to techniques of problem solving: evaluation, research, planning, and implementation. Outcomes or results (often more appropriately termed "consequences") should be frequently reviewed so as to provide feedback for further learning. In addition to tackling problems like campus parking and the homecoming theme, the Second Curriculum can integrate campus concerns with world concerns such as the famine in Africa, apartheid, and terrorism. It can examine the ideology of empire building—communism vs. capitalism—in Afghanistan and El Salvador. It can investigate religious influences on political structures vis-a-vis the Middle East or the American Moral Majority.

There are many obstacles to overcome in creating such an ambitious student services program. Unfortunately, one of the most significant is often the college president. First, we tend to formulate our student services staff around administrative chores rather than educational objectives. Second, it is easy for us to ignore a quiet campus. Third, spending big bucks on two or three large events gives us the impression that the campus is active and student needs are satisfied. Instead, we should wonder what the students are doing the other 30 weekends of the year.

But the president is not the only obstacle. Many professionals have been trained in graduate programs in student services that concentrate on theory and application, but do not stress the importance of practical teaching skills. It is as if, because student services is an administrative function of an institution, professionals need not be skilled in teaching. Any administrator in direct contact with students should be an inspiring teacher as well as an able manager. In addition, he or she will need to know how to recruit and motivate volunteers—something graduate programs

do not teach. An outstanding Second Curriculum program depends on volunteers from the student body, faculty, and staff.

Communication

If you want to establish a Second Curriculum program or evaluate an existing one, the first step is to attend an annual meeting or a workshop for student services personnel. With this background, you and your student services staff can develop a written philosophy for the Second Curriculum.

Let me stress that this is not a one-person task. The final concept must be created—and endorsed—by the entire college community. This will take committees, reports, and revisions and more revisions, but you will see that the time is well spent if you remember that over 60 percent of your students' campus experience will be affected.

Even if your student services staff is the best—honest, hard working, and professional—they are likely to believe that you, as president, are not capable of dealing with or interpreting the out-of-classroom life of students. So they will interpret it for you, all too often telling you what they think you want to hear. (Isn't it funny how they treat us just like we treat trustees? I wonder where they learn to do it!)

You will need both a formal and an informal system of communication with students. This is not because you need to check up on your staff, but because you need to monitor the whole system by staying in contact with its most important element—the students.

The formal system of communication should operate at the dean or vice presidential level. Exclusive of matters discussed in the president's cabinet meetings, student services should give the president a weekly written report that includes specific information about individual students. It is the dean's responsibility to establish the network that gathers this information either from line or staff personnel or directly from students. Although this is a formal system, it should not be burdensome or it will be ineffective.

The report should include such things as students (or parents) who are hospitalized and the staff member who is in contact from the campus; students who have academic, financial, or discipline problems; students who have won awards or distinctions; and special events the president should attend. The report may also include the major items on the agenda of the student senate, the activity board, and the student affairs committee; the major item discussed at the student services staff meeting; and areas of concern of which the president should be aware.

The informal system should be as broad as possible to assure input from a wide range of groups and individuals. Some presidents teach a class and require each student to come to the president's office for his or her grade. Some spend time in the student snack bar each day. Here are three approaches I have tried:

- *Start a Presidential Fellows program.* With the help of the admissions staff, I pick high school seniors as my advisees. I have a three-day retreat with them their

freshman year. Sophomore and junior Presidential Fellows help me plan the retreat. If a Presidential Fellow encounters problems academically, socially, or financially, he or she has first priority on my time. It is surprising how much I learn from this experience.

• *Hold president's advisers' luncheons.* This is a weekly luncheon meeting, when I am on campus, with major student leaders, such as the student body president, the editor of the campus newspaper, the president of the student activities board, and the presidents of the residence hall councils. If the meetings get into a rut, each person is asked to bring another student to the next luncheon.

• *Live in a residence hall for a while.* I must admit that the first time I tried this approach, it was not exactly voluntary. The president's house was not available, and the least costly alternative was for my wife and daughter and myself to move into empty dorm rooms for nine weeks. The second time was by choice. We were having dorm damage problems, and all efforts to pinpoint the source and motivation had failed. I stayed a full month, well after the source of the damage problem was identified. I stayed because it was one of the most insightful experiences I have had as president—an experience that will not be forgotten quickly. As "mainstream" adults we either romanticize or forget what dorm life is really like—the wonderful camaraderie, the lack of privacy, the newfound freedoms, the demands of peer pressure, the independence, the myriad small inconveniences coupled with personality differences of people living in close quarters. It was a valuable lesson for me, exhausting but exhilarating. And I have never been prouder of our students and staff. A short stay in a residence hall may open your eyes to a whole range of student concerns, ideas, and assets.

Let me add one caveat to these suggestions: These efforts were not meant to uncover weaknesses. When I undertook them, I was looking for good things to reward. In the academic environment where analytical evaluation is the norm, we are generally aware of more weaknesses than we can correct. You will make greater progress if you strive for positive action than if your response is one of negative reaction. Spend your time with students discovering what *they* think.

Whatever form of communication you use, don't think that one or two meetings each semester will be productive for you or your students. It takes a planned and consistent effort to communicate. And you must follow through; you must respond to what you hear. Students are quick to sense tokenism or disingenuous showmanship on the part of the president.

If you don't keep these lines of communication open, you may find that you've put yourself in jail. I have seen this happen all too often. A few years ago I visited another campus to watch our track team compete. Arriving a little early, I stopped at the president's office to say hello and suggest that he attend the meet with me. He said, "Oh no, I can't go anywhere on campus. I just fired one of the coaches, and the students are upset."

"What did the coach do?" I asked. He had doctored a student's transcript to make him eligible for sports. The president was clearly justified in his action, but he was still hiding. As presidents, most of us have made many decisions less clear-cut than this one. This was not a time to hide but a time to show up. His presence alone

would have been a form of communication. By lying low, he was allowing rifts to widen and factions to form. His mere presence, on the other hand, would have been a powerful signal that the ship was not adrift and that the president did not regret his decision.

With some obvious exceptions, nearly all continuing student unrest is ignited and inflamed by an adult. The fastest way to get to the source of student unrest is through student leaders. Generally they will be honest with you.

For example, we had a problem at Buena Vista last year. The student services office was moving to a residence hall. It would have an outside entrance and would in no way interfere with privacy or traffic in the residence hall. In fact, for 15 years that particular space had been the campus bookstore. So I was puzzled when some of the women residents protested the plan. Their arguments didn't make sense. Finally I asked them about their hall director's opinion. Did I get an earful! As it turned out, the hall director was leaving and wanted to cause problems for the dean of students. When the women realized that they were carrying the hall director's dirty laundry, they were ready to listen to reason. Since then, the student services office has moved to the new area and there has been no indication of discontent from the student body.

Staffing student services

The professional staff in student services must have a good theoretical background, but they must also be action-oriented. They must have teaching skills and the ability to develop a structure that serves the diverse needs of students' out-of-classroom experiences. On a campus of 1,000 students, I believe the following student services staff members are essential as a starting point:

- *Dean of students.* This person needs a strong background in the liberal arts and should be an expert in the student services field. He or she must be an articulate leader, able to structure the out-of-classroom environment. He or she must also function as an effective adviser to student government.

The hardest quality to find—and the one most essential to the dean of students—is the ability to make difficult decisions. Everybody on campus will second-guess the dean; faculty frequently do not like a good dean because he or she is always looking out for the students. And conversely, students often feel a good dean is "on the faculty's side." A good dean, however, is respected by both constituencies. If your dean is respected, you probably have a good decision maker.

- *Director of student activities/union director.* My first preference is for a person with a background in providing full social, cultural, and recreational programs. Such a person is expensive and difficult to find. The alternative is to find a person with a background in recreation and an advanced degree in student services. The director of student activities must depend entirely on volunteers, so he or she will need motivational skills. He or she should also serve as adviser to the student activities board.

On a small college campus, the union often must generate some of its own in-

come. Therefore, many presidents think that building management skills are more important than programming skills. I disagree. Good programs will keep the union full, and that will keep the income on campus. Most unions I have seen are a more convenient and positive hangout than the best off-campus alternative. The more you keep students on campus, the stronger the community becomes.

• *Director of residence halls.* This person must be a well-organized administrator who is detail conscious. He or she must have a strong background in maintenance and sanitation and must be experienced with budgets. The director should also handle some areas of campus discipline and be responsible for staffing the residence halls and assisting the hall governments.

The staff of the residence hall director will include hall supervisors. Small campuses often use young faculty and staff members or couples to fill these positions. While this method often works, it can lead to disaster. There are two problems: First, it is difficult to assess the lifestyles of new or junior faculty and staff. Changing circumstances bring marriage, new babies, and so on. Secondly, junior faculty and staff are apt to get tired of the position or leave campus for some other reason. You might try using senior students. While you will have a yearly turnover, you will also have three years to assess their suitability, maturity, and leadership qualities before offering them the job. I have had equal success when I used professional hall supervisors, faculty or staff members, and senior students.

The residence hall director can also serve as the administrative assistant to the dean of students. A good dean of students has so many contact hours with students that he or she will need assistance in attending to the details of the campus environment. This arrangement also provides students with another level of appeal for problems.

Because most church-related colleges have limited budgets, I have outlined only the basic staffing necessary on a residential campus. However, I strongly urge you to stretch your budget, if at all possible, to include a full-time placement director operating a full-scale program that begins in the freshman year. The placement office should assess talents, establish career objectives, arrange internships, and direct an ambitious placement program.

Too often the placement office is staffed by a hard-working paper-pusher who has not received the campus-wide support vital to success. You can check the quality of the placement office by checking the 1980 placement figures. If the record was below 90 percent in this recession year, the program is not working properly. A competent placement office should be able to buck employment trends in difficult economic times because it has established a rapport with employers.

A small fee for seniors may make them take the work of the placement office more seriously. The placement director should have the authority to waive the fee on a predetermined basis if the financial situation of a student warrants it. Alumni using the service should be charged a nominal fee.

You will probably also want to have a campus nurse, a psychological counselor, and a retention director—all on a part-time basis. Most colleges believe students should have a physician's care available to them 24 hours a day, not just when the health service is open. The many specialist physicians within the community can

handle students' problems more safely and effectively than one campus doctor. The part-time nurse facilitates coordination with community health-care facilities. This arrangement also eliminates the need for high-cost malpractice insurance.

A campus wellness program for students and employees, based on the holistic approach to well-being, should integrate all appropriate resources and programs on campus. The president should set an example through active participation in this program. It should be institutional policy to encourage all employees to participate, whether through released time or some other appropriate incentive program. Healthy students and employees are active, energetic, and productive members of the community.

Why have I recommended only a part-time psychological counselor and a part-time retention officer? I believe the need for these two staff positions arises from lack of direction and meaning in the out-of-classroom life on campus. That is, when students are bored, they will either find fault with the institution and consider leaving or they will look inward at their own weaknesses. But a good second curriculum leaves little time for inwardly or outwardly directed discontent. Of course, students will always need counseling. This is a given in higher education. While your student services staff should be available to counsel students concerning educational matters, minor personal and social difficulties, and other campus problems, student welfare should be everyone's concern on a small campus. Counseling that is built into the student services system and attended to at all levels eliminates the need for a full-time counselor and retention officer. As with physical health, the most effective mental health technique is prevention.

Long-term therapeutic counseling is generally beyond the ability of the student services staff of a small college. Students with severe emotional problems should be sent to full-time clinicians, not only for their own sake but for the legal safety of the institution.

Evaluating student services

How do you evaluate the effectiveness of your student services staff and your Second Curriculum? I suggest the following standards of evaluation:

1. Are students continually coming to your office to solve problems that the student services staff should be solving? In practice, this criterion is less obvious than it would first appear because presidents are human too. It can be both flattering and satisfying to have students seek your help. Sometimes, when the students have a good case, you have that rare opportunity to show off your power—an opportunity every president needs occasionally to assure himself or herself that it's still there. But what you are really showing off is your inability to establish a professional student services staff and program.

If you are not the source of the problems students bring to your office—and you may be, but that's the book I'll write when I retire—they may be the result of any of the following:

- The staff is not communicating well with students. Lazy communication, not

purposeful miscommunication, is most often the problem here. Also, within the student services staff there may be conflicting approaches that give rise to contradictory statements to students. For example, one person says, "You are here to experiment and grow," while another says—in actions if not in words—"*This* is what you must do." Once in a while, however, you may encounter an empire builder who knows that information is power and therefore withholds information in order to build power for himself or herself.

- The administration is implementing rules or decisions by fiat rather than building a base of support through established student governance channels.
- Your student services personnel are weak or not fully committed. As professionals they must be simultaneously committed to their area of responsibility—students—and to the institution. They must act in the interest of both. This means they should not make a habit of passing the buck up the ladder. That will happen frequently if they lack courage or understanding, if they attempt to control students by using the authority of the president's office because they have not established their own, or if they do not support administrative decisions.

When staff members disagree with your decisions, you should let them know that they have three options: (1) They can attempt to make a compelling case that will change your mind, or they can attempt to make a change through the governance system—and student personnel staff should have the same rights as faculty to take an issue through the system even if the president does not support it. (2) They can support the decision anyway. Or (3) they can resign.

2. Is there freedom, flexibility, and variety in the student services program? Students should participate voluntarily, attracted by the excitement and quality of the activities. Flexibility is essential for both students and staff. Both should be constantly experimenting and adjusting. This flexibility must carry over into budgeting too. The president must allow student services personnel to adjust line items in their budgets so that programs can be based upon the ever-changing needs and interests of students.

By variety I mean not just soup-to-nuts choices, but levels of activity within each choice that will attract the beginner, the expert, and the vast majority in between.

3. Is the Second Curriculum directed and controlled? You might think, from the second point above, that there can be no rules, but this is not true. The effective student services staff walks the line between freedom and flexibility on the one hand and variety and control on the other. They are constantly communicating, interpreting, and fine-tuning the program to meet the needs of students, as they uphold the principles and standards of the institution. They must be teachers in the truest sense. A tenured anthropology professor may teach from the same notes year after year, but student services personnel should never run the same program year after year or submit the same budget and the same plans. If they do, you have a problem.

4. Does the Second Curriculum teach both personal and intellectual skills? A student committee on apartheid will fail to stimulate meaningful dialogue on campus if its members are unable to cooperate among themselves.

5. Does the Second Curriculum program develop responsibility? An art major

may duck into a Bergman film festival to postpone facing a math assignment and be so taken with the visual images that he or she joins the film board to have a say in its decisions. The following year that same unenthusiastic math student may be ready to handle the budget and book films for the board.

6. Does the Second Curriculum program build community? A sense of community is best established by mutual respect for individual talents, abilities, and interests. A sense of community is lost when talents and interests are specialized and compartmentalized. The Second Curriculum should break down traditional barriers between the artsies, the pre-meds, and the business majors. Ideally, each student, regardless of his or her interests or abilities, will find a support group within the Second Curriculum. Belonging to this group or groups will help students develop a sense of community, accept responsibilities, and gain self-esteem. Such a program reduces the problems of attrition by transfer or dropping out. It is also a tremendous recruiting tool.

Thus, the least expensive students to recruit, and possibly your brightest classes, are on campus right now for you to retain or lose. And much of the responsibility for a thriving campus community rests with student services.

One final word of advice: If you encounter problems in your student services program, a confidential outside opinion can be very helpful. And because I know that presidents are most comfortable talking with other presidents, I have provided a list of colleagues (including myself) who have consented to be available for consultation. All are college or university presidents who have a background in student services. They do not necessarily endorse my approach to the subject, nor do I necessarily endorse theirs. But they do share our common experience in the presidency and are sensitive to the issues and dilemmas that go along with the office. In fact, I would say that, on the whole, other college presidents can be the greatest resources and the best friends you can have while in office.

Dr. Bernard S. Adams
Fort Lewis College
Durango, CO 81301

Dr. Neal R. Berte
Birmingham-Southern College
800 Eighth Ave.
West Birmingham, AL 35254

Dr. Keith Briscoe
Buena Vista College
Storm Lake, IA 50588

Dr. Constantine W. Curris
University of Northern Iowa
1222 West 27th St.
Cedar Falls, IA 50614

Dr. Michael R. Ferrari
Drake University
25th St. and University Ave.
Des Moines, IA 50311

Dr. Richard F. Gross
Gordon College
255 Grapevine Rd.
Wenham, MA 01984

Dr. George Hamm
University of Texas at Tyler
3900 University Blvd.
Tyler, TX 75701

Dr. Orley R. Herron
National College of Education
2840 Sheridan Rd.
Evanston, IL 60201

Dr. Ronald E. Ohl
Salem College
Salem, WV 26426-0500

Dr. Ronald W. Roskens
University of Nebraska
Central Administration
3835 Holdrege
Lincoln, NE 68583-0745

Dr. G. Robert Ross
Western Washington University
516 High St.
Bellingham, WA 98225

William R. Stott, Jr.
Ripon College
300 Seward St.
Ripon, WI 54971-0248

Dr. Joab L. Thomas
The University of Alabama
University, AL 35487-1498

Notes

[1] Alexander W. Astin, "The Virtues of the Small Liberal Arts College," Address presented at the Presidents' Institute of the Council of Independent Colleges, Miami Lakes, FL, January 6, 1986.

[2] Lee Noel, Noel/Levitz National Center of Student Retention, from a speech given at a Presidents' Institute, Memphis State University, June 1987.

[3] Astin, "The Virtues of the Small Liberal Arts College."

[4] Ibid.

David C. Le Shana

Seattle Pacific University's mission is to provide students with an outstanding liberal arts and professional education with a Christian emphasis in a distinctly Christian environment. As part of achieving this mission, the university requires that all staff and faculty be active Christians since personnel so largely determine the identity and impact of an institution. Although David C. Le Shana writes from an evangelical Christian position, what he has to say about team building will be instructive, provocative, and inspirational for a wide spectrum of church-related and independent colleges and universities that have an equally wide spectrum of personnel policies.

Named in 1982 as the sixth president in Seattle Pacific's 93-year history, Dr. Le Shana holds a bachelor's degree from Taylor University, a master's from Ball State University, and a Ph.D. in Religion from the University of Southern California. Prior to coming to Seattle Pacific, he was president of George Fox College in Oregon for 13 years.

Under his leadership, Seattle Pacific has instituted a number of new programs including the Intercultural Institute of Missions, which works internationally with special emphasis on the Pacific Rim; a Computer and Media Center; an electrical engineering program; and new graduate programs including an M.B.A. and master's degrees in Informational Systems, Human Resources Development, and Church Music. Seattle Pacific has an enrollment of 3,000 undergraduate and graduate students in addition to 20,000 students enrolled in its varied continuing education programs.

Dr. Le Shana is the author of *Quakers in California* and numerous articles. Among many leadership positions in professional education, he is on the board of directors for both the Washington Friends of Higher Education and the Independent Colleges of Washington, serving as co-chair of the latter. In addition, he serves on the board of administration for the National Association of Evangelicals and was the former chair of its Commission on Higher Education. He is the former chair of the board of the Council of Independent Colleges and the immediate past chair of the Christian College Consortium. Dr. Le Shana has also been named as a member of the Education Commission of the States (ECS) Task Force on State Policy and Independent Higher Education.

Chapter 9

Building a Team in a Christian College

David C. Le Shana
President
Seattle Pacific University

I believe deeply in persons! Any enterprise is only as strong as the people involved in it. Individuals make the difference, whether they are providing leadership or management, building community, creating an environment, developing relationships, or setting and accomplishing goals.

This is true in the corporate world. The plethora of books describing the successful corporations and businesses of our day highlight the crucial nature of having the right people throughout the entire enterprise.

This is also true—profoundly so—in the development of a successful college or university. It is my conviction that the character of an institution is not determined by catalog statements or by board or administrative policies or by cleverly worded phrases in a manual of operation. The character of any enterprise is determined by people.

This is the reason I believe that one of the most important tasks of a college or university president is the selection, development, and care of faculty, administrators, and staff.

As I look back across my years in higher education, the role that has been most satisfying to me is that of bringing the right persons to the right positions. Whether in the recruitment of faculty and staff, the development of donors, or the building of a governing board, my greatest joy has come in enabling men and women to respond to God's call in their lives and in working with them to build the Kingdom of God.

I use the term "Kingdom of God" advisedly. I want to acknowledge my bias at the outset. While I am deeply involved in the broad process of postsecondary education in this country, my commitment has been to Christian higher education.

The role of the Christian college in American history has been most profound. Yet today the demise of Christian colleges or their increasing secularization has become a national loss. One of the contributing factors undoubtedly has been the carelessness of governing boards and presidents who fail to articulate the Christian mission and vision of the institution. As a consequence, the institution drifts away from certain objectives by employing those who do not share in its distinctive mission and vision.

The most serious problems for most colleges, whether church related or not, it seems to me, have to do not with finances but with personnel. People make the difference. And the problems have to do with mission and vision.

In this chapter, I want to share some of my experience in building teams on the Christian college campus. I have reflected upon my seven years as an administrator at Taylor University where I learned a great deal from my colleagues and mentors. I was then able to use those insights during my leadership role at George Fox College for 15 years, and now (for six years) at Seattle Pacific University. Though my experience has been in evangelical Christian colleges, which may have a view of Christian mission and purpose different from that of other church-related colleges, I trust these insights will have value for the broad range of Christian colleges.

Before I address the importance of personnel selection and development, I want to comment on the importance of two other elements: first, understanding the purpose and mission of Christian higher education, and, second, carefully planning to achieve its objectives. To me, these three elements—purpose, planning, and persons—are inextricably linked. They are the ingredients necessary to build a strong team.

I. A Commitment to Purpose

The first task in building a team is to understand the distinctive mission and purpose of the Christian college. You can only evaluate the effectiveness of the men and women with whom you work in the light of the stated mission and objectives of the college.

Christian higher education faces a vast array of problems, as does all of independent higher education: troubled finances, declining student enrollment, outworn facilities, inadequate equipment. But as Professor Mark Noll of Wheaton College suggests, these may be the least serious issues facing the Christian colleges. He writes:

> Far more germane to the purposes for which these institutions exist are questions related to overall academic purpose and to relationships which the colleges sustain with their wider constituencies. The history of Christianity in America, not to speak of its worldwide history, testifies to the precariousness of penetrating Christian thinking. The tendency has ever been present for Christian academics to drift into the secularism of the wider culture or to relapse into the obscurantism of

> cultic sectarianism. Only an unambiguous loyalty to the hegemony of special revelation can check the propensity to secularism; only an unswerving commitment to the values of common grace can restrain the sectarian impulse. Against the children of the world, Christian colleges must stand for grace; against the children of grace, the Christian colleges must stand for the world.
>
> More particularly, Christian colleges are poised between the demands of free academic inquiry and of committed theological loyalty. Without the first, it is hard to see the Christian colleges preserving intellectual viability, but without the second they will not retain their Christian character.[1]

It is an ironic fact that the very evangelical impetus that gave rise to many Christian colleges has also been one of the causes of secularization at those institutions. The Christian college has always had a strong desire to serve the full community and has attempted to reflect that community in an increasing cosmopolitanism in its student body. But as it did so, it became less and less explicit about its original evangelical goals and motives in order to avoid offending the constituency of its student body and its alumni, who were themselves products of the college's original goals and motives.

In the days ahead, mere survival is not a sufficient goal for a Christian college. The real challenge is to survive and, at the same time, retain spiritual commitment integrated with academic excellence.

In his book, *The Christian College*, William Ringenberg writes:

> If an institution wishes to be recognized as a Christian college, it should proclaim that fact openly and boldly. A college which becomes timid and apologetic about its traditional Christian orientation is usually moving in the secular direction. Its reticence may represent the uncertainty of its leaders about what it should hold as its primary mission. A college cannot long remain thus divided; usually it becomes increasingly less Christian in its orientation.
>
> The college which wishes to remain Christian must go beyond a mere statement of that fact. It is not enough to publish doctrinal statements, hold chapel services, and require Bible courses; rather, the whole program must radiate the Christian faith. As William Clark has said, "The Christian college does not have a religious program; it *is* a religious program."[2]

Ringenberg goes on to describe such a college as "a community of Christian believers, both teachers and students," whose approach to teaching and learning is grounded in their search to understand the divine Creator and His universe and the role of each creation in that universe.

As I see it, then, we are faced with a threefold challenge: restate the mission; translate the mission; and actualize the mission.

Restate the mission

We need to restate and, if need be, recapture the mission of Christian higher education. While most colleges were founded on religious principles, only a minority of colleges claim to be Christian today. Most of higher education in America has become secularized.

In 1980, at the Conference of Faith and Learning at Bethel College in Kansas, Dr. Earl McGrath argued that:

> Christian institutions now find themselves in a position somewhere between the spiritual interpretation of reality, traditionally represented by Jerusalem, and the intellectualistic, rationalistic conception of the world depicted by Athens. The future well-being and ultimate survival of these institutions will be determined by a resolution of the philosophic opposition between Jerusalem and Athens—between faith and reason. This reconciliation will also have a profound effect on the ultimate character and health of our society.[3]

To accomplish this reconciliation, Christian colleges must, as Dr. McGrath suggests, "show that learning must not be juxtaposed to faith, but rather must substantively and epistemologically absorb both into a composite of acceptable doctrine and practice."[4]

Translate the mission

We need to translate the mission into terms that can be understood and acted upon. The secular view of education, in my opinion, is limited. As George Buttrick, clergyman and educator, said, "Secularism at its best is naive and at its worst is a refusal to confront life's dimension of depth."[5] But the pursuit of truth in the context of a Christian university ought to be the most liberating intellectual experience. If all truth is God's truth, then the search for truth should be open and broad, but always from the perspective of our commitment to and position in Christ.

Actualize the mission

Third, we need to actualize the mission. All of our tasks must be related to and nourished by our vision for Christian higher education. The revelation of Jesus Christ provides the major premise for the entire academic program, both in and out of the classroom. The unity of a Christian college is not a unity of curriculum design, but a unity of purpose—a purpose that is boldly and thoroughly integrated into every aspect of campus learning and living. We need to accept our uniqueness and accentuate our distinctive qualities. Our commitment to Christ must be made real in every aspect of the academic enterprise.

The question is never one of excellence in academics *or* excellence in piety; we should have both. I like what Elton Trueblood calls the word "and." He calls it the "holy conjunction." We want excellence in the life of the mind *and* excellence in the life of the spirit.

Recapturing, translating, and actualizing the mission of Christian higher education—this is the challenge that confronts us. The ramifications and implications of this challenge and the choices that present themselves become the substance for planning—the second ingredient in building a team in the Christian college or university.

II. A Concern for Planning

While planning is not new in human endeavors, only recently has it been taken seriously as an appropriate task for university educators. And even in this short time, planning in higher education has changed dramatically in theory and practice. Planning is no longer considered at its best if done only by a few individuals in private. Adequate planning must be seen as appropriate to the whole community of educators. More and more of academe is accepting the fact that without careful, rational, knowledgeable management, based upon solid and active planning, it may be difficult to survive with any distinction into the decade ahead.

I served on the board of the Council for the Advancement of Small Colleges (now the Council of Independent Colleges) for 10 years, the last four of which I was either chair or past chair. The Council provides service to over 300 member colleges, and academic planning was the major thrust of our work. I noted that planning became more open over the years. Trustees and presidents were attempting to make the process *in*clusive rather than *ex*clusive. Planning was becoming a task participated in by many rather than by few. It was easier to make changes when a greater number of the members of the academic community participated in the assessment. In addition, the campus was now seen as more than just a community unto itself; and community councils, chambers of commerce, and neighborhood interest groups were very properly insisting that campus planning become more responsive to the broader community concerns.

Communication, then, is extremely important. Community is built upon communication. In *The Human Side of Planning,* David Ewing observes that "Few errors damage the human side of planning more than errors in communication."[6] Persuasion is vital for change, and in order to persuade effectively, generous communication is necessary. To be sure, there is risk in such a process, but not to communicate or not to involve the academic community in the process of planning is a far greater risk to the health and well-being of the academic enterprise. Careful management, based upon wise planning and use of the tools of technology to examine the options, is indispensable to successful higher education.

The role of planning

Planning is not so much an imposed blueprint or timetable as an agreed-upon strategy. The involvement of others—their advice, their criticisms, their support, and even their dissent—is important to the process of planning.

Let's consider the objectives of the task of planning. We need to have a common understanding of what this process is all about. As George Keller has outlined its features in his excellent book, *Academic Strategy*, strategic planning means that a college or university will be active rather than passive about its place in history. Strategic planning is focused on keeping the institution in step with a changing environment. It is competitive. It focuses on decisions made by persons acting in concert to carry out a strategy they have devised. It is participatory. And above all, it places the long-term vitality and excellence of the institution first.[7]

To this brief summary, we must add a dimension for which Keller makes some allowance in his discussion of traditions and values, but which is central, not marginal for a Christian university—that is the spiritual dimension in the planning process. It is not incidental but monumental. If our enterprise is owned of God and is committed to Him, then we must take our planning seriously. It is not enough to dream our own dreams; we need to dream God's dreams!

An institution without a dream or vision, like an individual, is characterized by a sense of drifting and a lack of expectation. But if we are to move beyond mediocrity and aimlessness, we need to capture God's dream of what He wants to do in and through our corporate lives.

I can't tell you how to distinguish between God's dreams and your own. But I do know that you must begin with a spirit of brokenness and humility. If we approach the planning process with a sense of self-sufficiency and pride, we will never fully accomplish our objectives. Rather, we must approach this process with a desire to glorify God more than anything else.

Indeed, there is a biblical basis for planning. The writer of Proverbs declares, "Any enterprise is built by wise planning, becomes strong through common sense, and profits wonderfully by keeping abreast of the facts" (Prov. 24:3-4).

The scope of planning

Many political and social analysts suggest that our world is caught in a period of transition between the industrial age and the information age, a period of change and instability. But I do not know of a better time to be alive nor of a more promising era for Christian higher education. By nature I am an optimist. As I view the turmoil and struggles of our day, I am convinced that Christian higher education offers a viable alternative to those who are dissatisfied with the inroads that secularism has made in our society. To be sure, our colleges and universities are facing many real crises. However, in the midst of crises, there is room for optimism. Consider the Chinese word for crisis: It consists of two pictograms—one signifying "dangers," the other "opportunity." While the dangers that confront us today are

very real, so, too, are the opportunities for ministry and for significant contribution to society.

Nevertheless, we must temper our optimism with realism. If we are to succeed in our enterprise, we must understand and confront the realities of our day. We must examine the context of our work together. There are three areas of great importance to planning in the Christian college: the context of change, the context of the Church, and the context of constraint.

Context of change. We are living in a time of rapid, pervasive, revolutionary change. It is a time of upheaval. Economic, demographic, technological, and sociocultural changes all affect planning in Christian colleges. For example, awareness of the consequences of national deficit spending and tax reform could profoundly affect both charitable and governmental support of higher education as will the status of family income and the increasing cost of tuition. A growing world population, increasing urbanization, and shifting ethnic and age populations in the U.S. also have impact. The microprocessor, only one example of technology, is changing our lifestyle and the way we approach information-gathering and learning and thus traditional education. Finally, impacting higher education are such social realities as changing family patterns, the increase in working women, and a radically changing job market, which is forcing many employees to launch new careers at midlife.

Context of the Church. There is a second context that has great impact on Christian higher education and that is the context of the Church itself, which gave birth to Christian colleges and which should continue to nourish them and give them direction.

When I speak of the Church, I speak on one level of the various denominational pioneers who conceived the college as a vehicle for the education and development of leaders to serve local congregations and to minister to the world. But I also mean the Church universal, the Body of Christ.

As a Christian college, our commitment to Christ and His Church makes certain demands upon us, especially in our planning. Our work in higher education must be evaluated within the context of the Church.

Context of constraint. There are certain parameters to planning that we must not take lightly. For example, the constraint of *time*. Planning should be focused so that goals and objectives have implication not only for the long term, but also for the short and intermediate term. The constraint of *size* is also important. Planning must take seriously the evidence that many colleges may not be able to continue to grow in enrollment as they have in recent years. The constraint of *dollars* affects the Christian college as it does everything else; independent higher education is tuition-driven and, as noted before, support and family ability to pay may decline as tuitions rise. The constraint dictated by *priorities* means that the priorities established by the academic community and the governing board to carry out the objectives and mission of the Christian college may require that some academic programs, perhaps even majors, be modified or even dropped in favor of new programs.

The implications of these contexts—the context of change, the context of the Church, and the context of constraint—are profound for Christian higher educa-

tion. Our planning must be sensitive and responsive. As I see it, there are at least three responsibilities confronting us in this process: First, we must have a clear understanding of our mission; second, we must undertake a careful examination of our times and the context in which we must work, carefully delineating our task; third, we must inaugurate a courageous implementation of our vision through persons who become partners in the enterprise.

I am convinced that we are on the threshold to the extraordinary. With wise management, prayerfully and carefully utilizing our resources as effectively as possible, with thorough planning and sensitive stewardship, we can move beyond the ordinary in Christian higher education.

III. A Community of Persons

There is no greater task confronting the president of a Christian college than that of building a community—a community of learning, a community of hope, a community of fellowship, a community of faith, and a community of persons, each informed by and committed to the purpose and plans of the institution.

The word "community" is almost a talisman, a summum bonum in contemporary discussions. Yet it is also a valid and worthy goal. Community is more than a love compact; it is more than a need for togetherness or belongingness. In fact, community is best described in terms of function. Spanish philosopher and essayist Ortega y Gasset has suggested that "Human beings do not come together to be together; they come together to do something together."[8] It is this particular kind of community—a sense that God calls us together to serve Him, to work together for Him—that the president of a Christian college must strive to create.

Some months ago, a quotation came across my desk. As I recall, it was part of a fund-raising campaign for some civic agency in Seattle, but it is equally relevant to the task of building a team in the Christian college. It stated simply:

> Vision is having an acute sense of the possible. It is seeing what others don't see. And when those with similar vision are drawn together, something extraordinary occurs.

Here is the essence of building a team. When those who are like-minded, having a common commitment to the mission and purposes of Christian higher education, and who share a common vision of its future and are willing to plan and work toward that end, are brought together in unity—something wonderful and even extraordinary can occur.

It's my conviction that people are the most significant elements of any successful enterprise, including that of Christian higher education. The character of a campus is determined by people, not by buildings or endowment, not by curricular or extracurricular activities, not by size or location, but by people—people who have been hired and retained, people who share the vision of the Christian college.

The category of imperatives

It seems to me that few tasks that a college president performs are as important as seeking and finding the right persons to share in the academic enterprise—not just those who are closest to the executive office in administration but also, and especially, those who are members of the faculty. A commonality of commitment should characterize the entire community. Though each particular college must define within the context of its own particular mission the appropriate ground of this commonality, this unity of vision and purpose is vital.

I should like to illustrate this premise in the context of the evangelical Christian college, the community and mission of which I know best. Although this vision of what it means to be a Christian college will not be shared by all who are committed to Christian higher education, and indeed may be controversial, I hope that the principles for building a team committed to the purpose of the institution will have relevance for all.

At an evangelical Christian college such as Seattle Pacific, the faculty does not attempt merely to emulate the faculty at a public research university or to fit into the mold of the faculty at a secular, independent university. Instead, the faculty strives for quality and effectiveness in keeping with SPU's mission and objectives.

As colleagues at Christian colleges, we serve Church and society through dedication to teaching, nurturing, and service. The mission of the Christian college has both a specific task and a broad concern. Specifically, it desires to nurture students through education in the liberal arts and selected professions. More broadly, its concern is to work toward the obedient understanding of God's will, the extension of Christ's Kingdom, the strengthening of the Church, and the good of human society around the world. To these ends, it should be committed to a developmental educational process constantly directed by the following imperatives: Teach excellently, nurture persistently, and serve energetically.

Teaching, nurturing, and serving—these could well be the Great Imperatives of a Christian academic community.

Teach excellently. The primary task of a Christian college is to teach with effectiveness and excellence. It is committed to facilitating the growth of each student in a broad knowledge of the world, in ethical sensitivity, in aesthetic awareness, in creative expression, in international concern, in multiple communication skills, and in decision-making ability. Excellence in scholarship on the part of both faculty and students alike is regarded as an essential resource to the educational process.

Teaching at a Christian college is rooted in and continually informed by faith in Jesus Christ. It is committed to the historic Gospel. In curriculum development, in academic excellence, in community life, and in hiring practices, we attempt to make those decisions that will draw students toward Christ and a more mature faith.

It is understandable that an institution that takes the name of "college" or "university" should feel a surge of interest in research, and it is important that a Christian institution that aspires to significant leadership increasingly should speak out in the areas of its expertise. I am concerned, however, that the glamour of research

not divert our attention or our commitment from our central purpose as a teaching institution. We must not become uncertain about our priorities. Therefore, let me restate them: The fundamental responsibility and calling of Christian faculty and academic administrators is the teaching and mentoring relationship with students. Unless we succeed at this, there is no sufficient reason for us to exist at all as an academic institution.

I combine the terms "teaching" and "mentoring" deliberately. Essentially, all the behaviors of faculty in relation to students are mentoring ones. Whether the interactions of faculty and students are highly formal or highly informal, the faculty member incarnates his or her faith, scholarship, and practical techniques of living in all such interactions.

Nurture persistently. A second priority is to nurture one another toward spiritual, intellectual, social, and physical maturity and wholeness in Jesus Christ. This priority calls us beyond the transmission of knowledge within an academic discipline. We become not only brokers of ideas and skills, but mediators of personal development.

Nurture may be defined as the sum of those influences that enhance personal development. Any environment has an effect on us as people, but a vision for nurture motivates us to create an environment that will encourage growth in such areas as understanding and practice of faith, moral character, ethical sensitivity, aesthetic awareness, creative expression, international concern, loving relationships, psychosocial integrity, and so on. We long to help each other toward the loving, effective, and faithful expression of each God-given talent and gift.

Now, obviously, nurture comes in many forms. Discipleship should never be viewed only in the limited context of a given program or uniform series of activities. Rather, discipling or nurturing one another is portrayed biblically as a lifestyle of caring. Nurturing one another is an intentional, individual, creative process, motivated by love, that energizes and gives clearer focus and direction to the pilgrimage of another. We come alongside each other, sometimes pointing the way, sometimes offering support, sometimes just waiting until the time is right to speak, sometimes bringing affirmation and encouragement. We have only to look back in our own lives to identify some of those elements that have helped us to take positive steps of faith and growth.

Let me describe a few of the nurturing moments I have witnessed:

First, there is the responsibility that faculty and staff take in encouraging the development of one another. There are the formal opportunities of faculty meetings and workshops. There are also the more informal moments that occur around the coffee pots, in small Bible study/support groups, through notes of concern or affirmation delivered through the campus mail, and hundreds of short, but personal conversations in offices or over lunch.

Second, there are the amazing opportunities to influence our students in their growth. A good example of our impact is a response made by an SPU student in a panel discussion with high school seniors. Someone asked, "Has it been worth it dollar for dollar for you to come to SPU?" The student answered, "The person who knows me best in the entire world is one of my professors here at Seattle

Pacific. In him, I have an older friend who loves me and has helped me to grow. No amount of money could have bought that experience but any amount would have been worth it."

Serve energetically. Each of us at a Christian college has a life that is connected with that institution, but in our greater "vocation" (our "unique calling from God"), our lives have other dimensions of service. We are called to servanthood in our families, in our churches, in our professional circles, and in arenas throughout our world. We see the pattern of servanthood in our lives when we go beyond the boundaries of our contractual agreement and take the next step in response to God's call.

Our goals for students do not end with their successful completion of courses. Rather, our desire is that students will include service to and through the Church. We want to see in them excellence combined with an expression of Godly integrity. We want them to exert leadership in their vocations and to possess a vision and strategy for furthering Christ's Kingdom throughout the world.

We serve as models for our students, encouraging them to develop a lifestyle of serving others as we do. And they grow in their skills when we invite and encourage them to serve along with us.

Teaching, nurturing, serving—these are the elements that will make a Christian college distinctive.

The cost of vigilance

Once a Christian college has identified its distinctive mission and established policies and practices that carry it out, there are times when leadership has to take a stand in order to maintain the college's distinctives and uniqueness. And sometimes at great cost. Let me give an example from my own experience.

For almost 100 years, Seattle Pacific University has exercised a policy of hiring only "evangelical Christians." Both federal (Title VII, Sections 702-703, United States Civil Rights Act of 1964, as amended) and state (R.C.W. 49.60.040) statutes, as well as the First Amendment religion clauses of the U.S. Constitution, guarantee to all religious organizations, including Christian colleges, the right to hire faculty and staff who share a particular religious belief.

In the fall of 1984, however, the Washington State Human Rights Commission threatened legal action against SPU, based on a charge filed by someone who had applied for the position of warehouseman. Because of his lack of compatible religious beliefs, he was not hired. The state agency issued findings against the university, concluding that it was legally free to consider religion only when hiring people for "religious jobs" (as defined by the agency, presumably). The university then filed suit in federal court in Seattle for an injunction protecting its right to consider the religion of any applicant for any position.

It soon became clear that the state commission was not claiming that the university had intentionally or maliciously violated the law, but that the laws upon which the university relied for its exemption were unconstitutional.

The university's decision to file suit was not made lightly. Free Methodists, the denomination with which the university is affiliated, are not litigious people. But the only alternative—that of conceding the state's position—was fraught with serious, far-reaching implications, reaching not only all church-related colleges and organizations but even into the operation of local churches.

The state was claiming that no religious organization could exercise a religious preference test for any position that is neither "inherently religious" nor "traditionally ecclesiastical." At Seattle Pacific, the state asserted, perhaps only the School of Religion faculty could be so examined. For no other position—including that of president—should the university inquire into religious belief.

But the university has a deep conviction about the quality and character of persons who make up its academic community. Every faculty and staff member must acknowledge Jesus Christ as Lord and Savior and must state his or her personal agreement with the educational mission of the university. In many ways, the university could be shown to be a "pervasively religious" institution. It also could prove the foundational nature of its belief that the Lordship of Jesus Christ covers all areas of life and occupations, and that on a Christian college campus there can be no distinction between "religious" and "secular" occupations.

Of course, there were great risks and costs involved in the steps taken by the university. Major constitutional litigation is very expensive and time consuming, considering the extensive trial work involved and the likelihood of appeals, perhaps ending up in the U.S. Supreme Court.

But to do nothing, or to acquiesce to the state, would change the essential character and mission of the university. A stand had to be taken. Seattle Pacific University was not willing to abrogate its right to develop a specific kind of academic community, composed of men and women with similar commitments to a particular mission and purpose.

After many months of litigation, the state finally dismissed the complaint against Seattle Pacific and reversed its decision. The Washington State Human Rights Commissioners eventually agreed that the jobs of SPU employees could not be divided into secular or religious categories. They acknowledged that "Seattle Pacific University expects and encourages all its employees to counsel and 'witness' to students...all staff have a significant role in the furtherance of its religious and educational mission."

To be sure, not every Christian college will face a similar challenge—in part, perhaps, because Seattle Pacific was willing to become a test case for a very significant issue. But every college will have to determine for itself the personnel standards that are appropriate to its purpose and planning. And then it must be prepared to draw a line, to take a stand, and, if need be, to fight for its principles. Rationalizing, then doing nothing, could be the undoing of many institutions.

The contracting of personnel

It has been my observation over the years that a vital community of people, shar-

ing a common purpose and working together toward a common goal, didn't just happen. Almost without exception, leadership was the key factor. Indeed, unless the leader was able to inspire others to share in a common vision and a commitment to its realization, a sense of community floundered and often was fractured.

The role of the college president is crucial to the development of a strong academic community. The president must be able to inspire confidence, trust, and hope. The president must be able to articulate a mission and purpose and lead the way to the realization of a dream or vision. Much has been written about the need for strong presidential leadership in American higher education. Clark Kerr, Joseph Kauffman, David Riesman, and James Fisher have accurately, it seems to me, identified the problem of lack of leadership in contemporary higher education. Yet the models are present, and even in Christian higher education, there are examples that are worthy of emulation. I am personally grateful for examples of strong leadership that have preceded me in each of the Christian colleges with which I have been associated. And through my involvement with consortia of Christian colleges, I continue to be stimulated and challenged to become better than I am.

My over 30 years in Christian higher education lead me to make several observations about the role of the president in building a community of persons who share a common vision and are committed to a common mission, and specifically about the selection, integration, development, and management of personnel, especially new personnel.

Selection of personnel. I cannot emphasize strongly enough the importance of the president's role in personnel selection. I believe that it is one of the most important tasks that a president does. It is time-consuming and laborious, but it is essential if the institution is going to have any sense of unity. Across the years, I have come to the conclusion that the president must be involved in the interview process of every faculty member and every administrator at the supervisory level and above. The president also must set the tone for the entire staff recruitment policy.

The faculty are the heart of the college, and there are few appointments as crucial to determining the health and welfare of a college as the appointment of a new faculty member. The president needs to make sure that vacancy announcements accurately reflect the mission and vision of the institution, and that a clear and careful procedure is followed in the screening process. Every prospective faculty member ought to be interviewed by the president before the final decision is made.

I have several reasons for doing this at SPU. First, I want to make sure that the faculty candidate has a clear understanding of the mission of the university and its future direction.

Second, I want to determine the "mission fit" of the candidate. I assume the applicant possesses the ability and credentials for the particular teaching task; otherwise he or she would not have been able to proceed this far in the screening process. My questions, then, center not so much on academic credentials, but on whether the candidate's personal beliefs and goals will fit in with the mission of our evangelical Christian university. I often ask the candidate to describe his or her spiritual pilgrimage to identify strengths or weaknesses in the ability to integrate

faith and learning in the classroom. For a Christian college, it seems to me, a Christian faculty is a sine qua non.

Third, a personal interview allows the candidate to question me directly about the purposes of the university and the future we have planned for it. There are two sides to the interview process: The university needs to know as much as possible about the candidate, but the candidate also has the right and obligation to know as much as possible about the university.

I follow the same interview process for all administrators at or above the supervisory level. And I also insist on interviewing all those on the staff who may not supervise other staff members, but who have a strategic role in dealing with students, such as residence hall directors and other key student life staff.

Support staff are important too. In fact, in many ways they are just as important as faculty and administrators. They, too, need to understand their part in the mission of the institution. Therefore, every few months, I invite all recently employed support staff to my office for a reception and a time of fellowship. I discover who they are, respond to their questions, and then share with them some information about the history of the institution, its mission, and its plans for the future.

Integration of personnel. Building a sense of community only begins with the selection of personnel. A great deal of time and care must be invested in giving each new person a sense of belonging.

There are many ways to do this. A retreat at the beginning of the year for the faculty helps in assimilating new personnel. Orientation sessions, adequate written materials, public introductions—all are important. But in addition to those occasions at the start of a contract year, continuing responsibilities throughout the year can also build community. Let me comment on some of the ways that I have found to be helpful.

I have found a faculty mentoring or shepherding experience to be of value. At SPU every new faculty member is assigned to a veteran faculty person, generally outside of the newcomer's discipline. For one year, the veteran faculty serves as a mentor, providing friendship and collegiality and responding to questions about the institution's history and mores. Each mentor is given $100 to use at his or her discretion—it can be used to buy books, pay for meals, or provide for a family weekend together. I have found this to be an excellent way to integrate new faculty into the university.

The president's spouse can serve an important role in providing social settings that help bring integration—not only for new personnel but for the entire community. "Keep-acquainted" coffee hours for faculty spouses, faculty luncheons, "gourmet fellowship dinners" involving simultaneous gatherings in participants' homes four times a year, receptions, and small group dinners provide opportunities for fellowship and community building throughout the year.

The president must be an encourager and a facilitator of community. Visiting faculty and staff in their own offices, sharing in prayer groups, and being available and accessible for counseling are some of the ways that are appropriate to the Christian college campus.

Development of personnel. One of the major responsibilities of a president is to support the members of the academic community in the utilization of their gifts and talents in the tasks to which God has called them. In one sense, it is a matter of Christian stewardship. The purpose of leadership, then, is to find the necessary resources to enable the faculty and staff to utilize their abilities.

Faculty and staff development should be an important theme in the president's agenda. Assisting others to become all that they are capable of becoming not only ensures individual growth, both personally and professionally, but also contributes to the health and well-being of the entire academic community.

In addition, the president needs to find ways to say "thank you" and to reward members of the academic community for their contributions to the success of the academic enterprise. Across-the-board bonuses are appreciated, as well as individual awards and recognitions.

While not always seen as a reward for service, sabbaticals can become important times of refreshing and renewal for both faculty and administrative staff. Or they can provide time for retraining for valued colleagues who need to make teaching or job changes within the institution.

Management of personnel. Although a variety of management styles are used in profit-making and nonprofit organizations, in Christian higher education each college president must determine what is appropriate to his or her personality and to the situations that are presented.

My own leadership style has been directed by the attempt to build consensus as part of an effective community. Nevertheless, I have found that personnel decisions are the hardest to make, and I suppose that this will always be the case for any president who is interested in building a sense of community.

It is important, therefore, that the president use guidelines and regulations that are in writing and accessible to all members of the community. Manuals, handbooks, and job descriptions should be clear and concise, constantly reviewed and updated; they should ensure that the rights of the individual, as well as those of the institution, are well protected. In dealing with people, a president needs to be sensitive, compassionate, forthright, and honest.

There is a maxim that I have used in management that directs my actions and gives perspective to my relationships with my colleagues. I learned it years ago from my friend Elton Trueblood. It is simply this: Be tough on principles, but gentle on persons. To the degree I am successful in following this guideline, I feel that I have been successful in managing and developing an academic community.

Conclusion

Christian higher education in America faces an unusual opportunity to serve the needs of society in this generation. Yet we must be aware of the many pressures that would divert us from our task. As never before, we must clarify our purpose and objectives, and plan to move ahead with new vigor. We dare not allow institu-

tional inertia to prevent us from adapting to new situations. These are our most challenging years, but they also may be our most dangerous and critical years. Through negligence or even through rationalization, we could veer away from the historic mission and purposes of our institutions.

Our objective will also have something to say about the way we perceive each other in our roles and responsibilities. Christian community is not built upon "we-they" relationships, but on the genuine acceptance of each other and openness to each other as servants of God, serving each other and the world. The development of a strong, caring community, to my mind, is a corollary to a correct understanding and implementation of the total task of Christian higher education.

Building a community—a team of persons—becomes central to the task of leadership in a Christian college. It requires an uncommon degree of understanding and determination and demands a priority of time and attention. But with the right kind of persons, the Christian college can become the kind of institution that matters and makes a difference in the life of our nation and world.

Notes

[1] Mark Noll, "Introduction" in *The Christian College*, William C. Ringenberg (Grand Rapids: Christian University Press, 1984), p. 35.

[2] Ringenberg, *The Christian College*, p. 215.

[3] Earl McGrath, Address presented at Bethel College, Newton, Kansas, 1980.

[4] Ibid.

[5] George Buttrick, quoted by Ringenberg, *The Christian College*, p. 216.

[6] David Ewing, *The Human Side of Planning* (New York: Macmillan, 1969), p. 136.

[7] George Keller, *Academic Strategy: The Management Revolution in American Higher Education* (Baltimore: Johns Hopkins University Press, 1983), pp. 143-152.

[8] Quoted by Robert Nisbet, *The Degradation of the Academic Dogma* (New York: Basic Books, 1971), p. 43.

Eugene B. Habecker

The principle of separation of church and state does not exempt the church-related college from legal and legislative concerns—particularly in what often seems to be an increasingly litigious social climate. Eugene Habecker, president of Huntington College in Indiana, examines some of the issues most likely to confront presidents of church-related colleges.

Dr. Habecker's legal training and research as well as his experience as a college president equip him to help others unravel the complexities inherent in this field. He is the author of the monograph, *Affirmative Action in the Independent College: A Practical Planning Model,* and the recently published book, *The Other Side of Leadership,* as well as a number of articles.

Dr. Habecker became president of Huntington in 1981 after serving for two years as executive vice president. Prior to that he held positions in student affairs at Eastern College in Pennsylvania and George Fox College in Oregon. He holds the B.A. from Taylor University, the M.A. from Ball State University, and the Ph.D. from the University of Michigan. He earned the J.D. degree at Temple University School of Law. He is also a graduate of Harvard University Institute for Educational Management.

His leadership in professional education includes serving as an evaluator/consultant for the North Central Association of Colleges and Schools and chair of the board of directors of the Christian College Coalition, and participating in numerous other state and national associations.

Chapter 10

Laws, Lawyers, and Legislation: Triple Threats to Visionary Presidential Leadership

Eugene B. Habecker
President
Huntington College

Those who have attended or who have worked for church-related colleges know that they are special places that provide attractive opportunities for many. These colleges pride themselves on the personal relationships that are fostered and on their academic distinctiveness, and justifiably so.

But there is a legal and legislative cloud on the horizon that threatens their operation. The fact that a whole host of constituents believe that an institution is "special" no longer is sufficient to insulate or isolate it from the myriad legal and legislative expectations and concerns that affect its mode and style of operation. Indeed, there is a common set of expectations that impact the majority of—if not all—institutions of higher education.

All accredited colleges, for example, must comply with legislative "doing business with the government" requirements, whether Title IX, Section 504, or the Buckley Amendment.[1] Furthermore, all college activities must be in conformity with the expectations of both the federal and appropriate state constitutions. Institutions must also comply with a variety of other government/legal expectations —fire codes, zoning ordinances, and the like.

In the same way that "specialness" no longer provides an institutional cloak of legal immunity, so, too, "smallness" no longer exempts a church-related college from much of anything. As a general legal proposition, institutional size, whether measured by enrollment, endowment, or some other similar criterion, is not, in most situations, dispositive of institutional legal and/or legislative responsibilities.

A president who desires to provide visionary leadership for the church-related college must face these legal and legislative challenges decisively and with courage. But how is this to be done? Must the college president be a lawyer to assure institutional survival? Must being a practical politician govern the presidential agenda?

To help presidents deal with these issues, this essay covers four areas:

- sources of legal rights for students and faculty;
- alternatives to going to court;
- the role of the president in institutional legal matters; and
- how the president can impact the legislative process.

Sources of legal rights

This area of law is an extremely volatile and troublesome area for college presidents. It is difficult, for example, for a visionary college president to be faithful to a vision of greatness while he or she is defending a costly lawsuit which, if successful, could strip the college of the very resources so necessary to fulfill that vision. While this essay is not meant to be a definitive legal treatise, I hope it will help the practicing president understand the broad legal theories that impact on institutional performance. Ignorance of the law is not an operative defense to legal expectations.

Students and employees of the church-related college use three different approaches to assert their legal rights: contractual, statutory, and constitutional.

Contracts. Claims for judicial protections under a contract approach are based on the contractual nature of the relationship with the institution. This might include signed written documents, prior custom and usage, faculty and student handbooks, and other items incorporated therein by reference (such as documents of the American Association of University Professors).

Although "most courts agree that the contract law of the commercial world cannot be imported wholesale into the academic environment," student and faculty contracts have to meet the normal expectations of contract law.[2] On the other hand, contracts should not be unconscionable, that is, "so harsh and unfair to one of the parties that a reasonable person would not freely and knowingly agree to it."[3]

In the church-related college, the contract is one of the most important sources of legal rights. Accordingly, presidents must be keenly aware of all the kinds of contractual relationships that impact the many areas of the college.

Statutes. Statutory law and related regulations serve as another source of legal rights. Relevant federal statutes include:

- the Age Discrimination in Employment Act of 1967, prohibiting discrimination in employment against persons between the ages of 40 and 70. This statute covers all institutions, even those that do not receive federal funds;
- the Civil Rights Act of 1866, prohibiting racial discrimination in the making of contracts;
- the Civil Rights Act of 1871, prohibiting the denial of any civil rights under

color of state law (if a church-related institution is involved in a state action, the institution might be liable for the denial of civil rights by state law to a "harmed" person at the institution);

- the Civil Rights Act of 1964, Title VII, prohibiting employment discrimination based on race, color, religion, sex, or national origin (the act contains several notable exceptions, including a specific exemption for religious institutions. But this means the institution may discriminate *only* on the basis of religion); and
- the Rehabilitation Act of 1973, prohibiting discrimination against handicapped persons, including employees. Only institutions that receive federal funds are covered.

While these statutes appear to be important sources of legal rights for campus personnel, including faculty, they basically apply only to cases of discrimination. If the plaintiff is not alleging discrimination, these statutes are of limited value.

As with contracts, the president needs to be aware of the host of statutory requirements affecting institutional operation.[4] In some cases, the statute applies even if the institution receives no federal aid. In addition to federal statutes, the president should be aware of state and local statutory requirements that apply to the institution.[5] This is an area that requires careful monitoring and constant review by the president.

Constitutional rights. Many of the legal decisions involving public colleges and universities in recent years have limited applicability to the church-related college. In cases based on contracts or statutes, whether an institution is private or public is generally irrelevant, but it *is* important in constitutional issues. And many courts have been reluctant to get involved in the substantive expectations of employees or students at institutions of higher learning, whether public or private.

Judicial decisions have usually been intended to guarantee procedural safeguards, such as those guaranteed by the due process clauses of the Fifth and Fourteenth Amendments of the Constitution of the United States. But note that the federal constitution and its protections, including due process, apply only to public institutions, their students, and their employees, and not to church-related colleges.[6] This means that anyone at a church-related institution who alleges violation of due process rights must establish that state action was involved in order to trigger Fifth and Fourteenth Amendment protections. If he or she cannot show that state action was involved, the due process argument will probably not prevail.

Most presidents of church-related colleges are not aware of this wrinkle. Two cases, *Cannon* v. *University of Chicago* (1979)[7] and *Browns* v. *Mitchell* (1969)[8] aptly illustrate the necessity of state involvement for due process to succeed:

> In *Cannon*, a female applicant refused admission to the medical school of the University of Chicago sued the university, claiming among other things that denial of admission was discriminatory. In the District Court decision, the court concluded that to raise a claim of "state action" something more must be raised than an allegation that the university receives state and federal aid and is conducted "under Illinois law, custom, and usage." It dismissed the complaint.

In the Circuit Court of Appeals, Cannon argued that her exclusion from medical school was in violation of her right to equal protection of the law. In rejecting the argument for "state action" because of the receipt of state and federal assistance, the court made the following observation: "But, even assuming financial aid and assistance by the State in whatever amounts, such aid and assistance is insufficient...unless it can be shown that the State has 'affirmatively supported' the particular conduct challenged here."

The court then proceeded to affirm the District Court's decision.

On appeal to the United States Supreme Court, the court reversed the appellate court on other grounds but left intact the lower court's analysis on "state action."

In *Browns,* several University of Denver students informed the chancellor that if a list of student demands was not met a sit-in demonstration would be staged. The students were informed that their demands would not be met and that any sit-in would result in the severest discipline. The sit-in was staged, and the students involved were suspended from the university for one year. They sought reinstatement to the university and asserted as the basis for their claim to relief that "the proceedings which resulted in the suspension were lacking in procedural due process."

The students argued the following facts in their attempt to show "state action": (1) the university is tax exempt not only under general taxation considerations, but also under a special provision where "its non-educational income producing property is also nontaxable;" (2) the university performs various functions and services for the public thereby giving it "the color of a public institution...." The Circuit Court of Appeals, however, rejected these arguments and affirmed the lower court's dismissal of the students' complaint.[9]

As you can see from these cases, the doctrine of state action is an important concept and one that the college president needs to understand. It's important to clarify exactly what state action is and what it isn't. Several theories have been tried to show the existence of state action in church-related institutions.

The governmental aid or assistance theory is as follows: The plaintiff attempts to aggregate all governmental aid or assistance received by the college, including the granting of the state charter, state and federal financial aid moneys, capital construction grants and loans, and various tax exemption benefits. The more government benefits an institution receives, according to this theory, the greater the amount of state action involved.[10]

The public character or function theory[11] argues that since church-related higher education "has become increasingly public in nature, the function of private higher education is so essentially public that a governmental standard should judge its performance."[12]

The delegated power theory claims that the government has actually delegated a particular task to the college, and the college carries out this task on behalf of the government. A college official, then, acts in a private capacity when carrying out the nondelegated functions of his or her office but in a governmental capacity when carrying out the delegated functions.[13]

While there are other theories, these three have been the basic vehicles for the constitutional or state action argument.[14] Courts, as is their practice, weigh and balance these competing arguments and claims. Accordingly:

> Because of varying patterns of governmental assistance and involvement, a continuum exists ranging from the obvious public school (such as the tax-supported state university) to the obvious private school (such as the religious seminary). The large gray area between these extremes provides a continuing source of debate about how far the government must be involved before a "private" institution may be considered "public" under the constitution.[15]

If a person makes a successful state action argument in a case against a church-related college, he or she must still satisfy constitutional standards. If the state action showing is unsuccessful, then he or she must resort to a nonconstitutional argument, such as one based on contract or statute.

For the church-related college, then, contracts are one of the most important—if not *the* most important—source of legal rights. Statutes become relevant only when the college receives money from government sources or if the number of institutional employees or the size of federal contracts reaches a certain size. Constitutions (state and federal) may or may not apply, depending on the amount of state involvement in campus operations.

Alternatives to litigation

One characteristic of the current higher education milieu is that it is litigious. People sue at the drop of a hat. Faculty sue over appointments and tenure. Students sue over student discipline and admission to selective programs. All the while, others sue for racial discrimination or sexual harassment.

A president of a small church-related college recently surveyed similar institutions to ascertain the extent of litigation.[16] The results indicated that litigation is indeed alive and well. Hundreds of thousands of dollars are being spent every year to defend claims of all types.[17] Money that could be used for library books and improved programs is going to legal fees.

For example, faculty actions for wrongful discharge, denial of tenure, or wrongful refusal to hire are now fairly common. It is not unusual for people to sue a college because they believe "grandpa" should have given less money to the college and more to his relatives. Government agencies seldom hesitate to subpoena a variety of a college's records, whether or not the plaintiff's claim to "illegal" discrimination is substantive.

Given society's penchant for litigation, this phenomenon will probably continue rather than decrease. And the "specialness" of the church-related college has not discouraged either students or employees from pursuing legal remedies when they feel their rights have been infringed.

How is the president to face this problem? Should in-house counsel be hired? Should thousands of additional dollars be budgeted for legal fees?

Before these questions can be answered, the president and the board must decide how the institution wants to resolve conflicts where litigation could result. What is the college's goal? Does it want to "always win" whatever battles have to be fought? Does it want to spend as little money as possible on legal matters? Does it want to maintain a low threshold of institutional disruption? Or to look good to the public?

The president must weigh these conflicting strategies. "Winning," for example, is not a simple matter of having the court resolve in the college's favor. It may be prohibitively expensive. The president may have to spend literally hundreds of thousands of dollars and eventually bankrupt the institution for this Pyrrhic victory. And there will be other costs besides the financial one.

For example, to win a case concerning faculty termination, the president may find he or she has set faculty member against faculty member or faction against faction. There is a heavy institutional cost to this and the president had better know what it is. In addition, many small church-related colleges find it difficult to carry out the hearing procedures mandated by the American Association of University Professors (AAUP). These procedures are meant to ensure an unbiased hearing board.[18] But small colleges particularly value collegiality, which means that many people, including faculty and board members, are involved in the process and share information long before a formal hearing is conducted. This precludes the kind of objectivity required by AAUP guidelines. Where, then, is the president to find impartial faculty and board members for a proper AAUP-type hearing procedure?

Most litigation and/or hearings drag on for several years and can cause severe disruption of the institution during this time. This can be quite serious if litigation continues during an accreditation review.

The board and the president must consider their priorities and the practical ramifications of institutional choices. There are substantial dollar costs to "winning." As a college president, I have been subpoenaed and given testimony under examination of counsel, and I have been involved with the legal dimensions of personnel matters. Thus, I can state categorically that there are far better ways for a president to use his or her limited time.

A church-related college on the West Coast practices what it preaches in this area. Its top priority is the avoidance of litigation. The leadership of this small college (enrollment of 2,000) derives its legal strategy from its mission. The college sees itself as an agent of reconciliation; it believes that litigation focuses on "winning" rather than on resolving the issues presented and that higher education ought to be characterized by its commitment to a search for the truth. It believes it has more to lose by going to court—even when its case is clearly winnable—than by pursuing another option. It has factored into its legal strategy the total costs of a "win

at all costs strategy." These costs include how such a strategy will affect campus morale, how it will affect a college's reputation or image within its constituencies, and how it will ultimately affect the college's view of financial stewardship.

Contrary to what you might expect, this position has not made the college more vulnerable to legal action but has had the opposite effect. People know that the college will attempt to resolve their concerns on the merits.

The college's commitment to this position has been made in spite of the fact that many board liability policies generally provide coverage or reimbursement only after the college has exhausted all legal procedures and has "lost." I believe that this institution has, nevertheless, made a prudent decision, particularly given its "Christian" mission. In fact, many church-related colleges might consider how their mission statements—often with language about a caring community and "special" people—fare in the context of litigation.

What, then, are the options to litigation? There are several methods of resolving legal disputes without resort to the courts and without total capitulation of one side to the other. Mediation and/or arbitration are often successful, and other options are possible as well. The college president and the governing board should know which of many options they want to pursue and when. And they should understand the possibilities *before* problems arise.

Mediation is defined as "the act of a third person who interferes between two contending parties with a view to reconcile them or persuade them to adjust or settle their dispute."[19] Mediation is not binding on either side. Then why consider it? Often it's hard to see the forest for the trees if you are close to an issue. An outside party, mutually agreed to, has the objectivity to see solutions that neither side has considered and that both parties may be able to accept. Mediation as an attempt to reconcile is particularly appropriate here as reconciliation is a concept that runs deep in the theology of many church-related colleges.

Arbitration involves "the submission for determination of disputed matter to private unofficial persons selected in a manner provided by law or agreement."[20] The arbitrator, mutually agreed to and selected for this purpose, hears the contention of the parties and gives a judgment between them. Arbitration may or may not be binding. If both parties commit themselves to abide by the decision rendered, it is binding arbitration. In this case, both the college and the student or staff member involved must adhere to the decision. Unlike mediation, where the mediator serves as a facilitator to help the parties arrive at a resolution of their differences, the arbitrator hears both sides and then renders a decision.

Presidents would do well to consider the merits of both arbitration and mediation as alternatives to litigation. Both are much more in keeping with the missions of many church-related colleges. Mediation and/or arbitration provisions can be included in personnel contracts, manuals of operation, and other college documents. These provisions can stipulate who the mediation and/or arbitration organization is to be.[21] Presidents who pursue these kinds of options with their boards will have an in-place alternative to costly litigation.

The president as leader of the legal process

The church-related college needs active presidential leadership in this area. The role of the president in dealing with these and other kinds of institutional legal matters is vitally important. Should the president be directly involved with the suits of disaffected or disgruntled students or faculty, or should they be delegated, for example, to deans or representatives of the board? How should the president work with legal counsel?

In the past this was not an area of major concern for the president, but times have changed for several reasons.

First, church-related institutions are in significant ways captive to influences outside the campus that have a direct bearing on the quality of on-campus education. Both revenue and expenditures are affected. If student aid and charitable deduction legislation is put in place, student enrollment and gift income will be affected. If litigation leads to the payout of a large amount in settlement of claims, this will have an obvious impact on the balance sheet. Accordingly, for economic reasons a president needs to be actively involved in the college's legal problems.

Secondly, leadership in the legal arena can set the tone for the entire campus. If collegiality is valued, the legal documents and the litigation alternatives chosen should reflect this. The acrimonious or adversarial resolution of problems, particularly those dealing with campus personnel, can have a significant impact on campus morale and can taint the educational climate of the college.

Third, it is primarily the president who has the systemic view of the college. Even the board often lacks the perspective of the big institutional picture—how each area might impact on another area. So the president's leadership role functions to prevent a legal vacuum from developing.

Fourth, presidents need to maintain regular contact with legal counsel, not only when problems arise but at other times as well. Legal counsel should hear the heartbeat not only of the college but of its president as well. It's the president's responsibility to educate legal counsel about the college, its mission, and its programs.

Although there are several useful materials and helpful associations the president may want to consider, two are particularly useful in helping him or her prepare for this leadership role:

- *Legal Deskbook for Administrators of Independent Colleges and Universities.* Available from Mercer University's Center for Constitutional Studies, this deskbook provides a comprehensive survey of the laws affecting a broad range of issues involving the church-related college. It is highly recommended. The *Deskbook* can be ordered for $75 (includes postage) from the Center for Constitutional Studies, Mercer University, Macon, GA 31207. Periodic supplements are $12.50 per issue.
- The National Association of College and University Attorneys (NACUA), Suite 620, One Dupont Circle, Washington, DC 20036, (202) 833-8390. An institutional membership in this association provides several publications that feature both current updates of recent court decisions and more extensive legal analyses of a variety of issues impacting colleges and universities. Membership also provides the college's legal counsel with many of these same materials and services.

In the world of visionary presidential leadership, preventive law is becoming an increasingly important presidential function. How this function is handled by the president will say much about the institution's ability to survive and thrive.

Impacting the legislative process

The visionary college president must also be committed to impacting the legislative process. This responsibility may be just as hazardous as the legal one. Millions of dollars flow to the church-related colleges from the coffers of both state and federal governments. Programs such as student aid, Title III, and the like channel money to the small college. In many college budgets, these dollars are the largest single source of nontuition revenue. In addition, IRS actions and policies often have as great an effect on gift income as donor admiration for the college.

Furthermore, the statutes that authorize people or government agencies to litigate against the church-related college are also products of the legislative process—a process that presidents can influence. It is therefore important for the college president to know what the institution's goals are in this area and how they will be achieved. While a variety of approaches and tactics might work, some general guidelines apply to most attempts to influence both federal and state legislation.

1. It's important to understand the legislative process in both houses and the differences between the two. Other writers have clearly set forth some of these differences. For example, as Roush points out, since the Senate is smaller, members tend to be less approachable and more dependent on staff for input into key issues. The House member, on the other hand, is likely to be more accessible. Knowing the key role of congressional staff in the process of legislation is critical to influencing change.[22]

2. College presidents should be aware that they are precisely the kind of people members of Congress consider to be important. Presidents have considerable influence themselves, and they represent broad and diverse constituencies. Consequently, members of Congress are likely to value their input into a variety of legislative proposals.

3. Presidents should spend time socially with legislators. There are several ways to do this, and the president should select those most in keeping with the institution's traditions and mission. Congressmen and women are political creatures and will value properly arranged events that offer them prime contact with voters within their constituencies.

For example, if the president is planning a trip to Washington, he or she should include visits to the various members of Congress from the area. He or she doesn't need to meet each one on every trip, but the contact should be frequent enough to enhance later involvements.

The president should also consider inviting members of Congress to campus at various times, such as special convocations or commencement activities. An open house in the president's home in honor of this special guest could follow

the event. Everyone appreciates special attention and members of Congress are no exception.

Another way to enhance social involvement is to elect or appoint either the member of Congress or his or her spouse to special college boards or commissions. Even if he or she cannot attend many meetings, materials prepared for these commissions can help educate the member to the institution's concerns.

4. Presidents should be involved in the legislative process at an early stage. Presidents often wait to get involved until long after the time has passed for the senator or representative to respond meaningfully to concerns raised. Timeliness is essential. As one former congressman has observed, "The earlier the advocate can exercise influence, the better."[23]

5. Presidents should invite to campus people from both political parties. While everyone may not approve of this, it will prevent members of Congress from believing the institution to be captive to one political party. Balance, coupled with fairness and integrity, is called for.

There are several reasons for a college to attempt to be bipartisan. First, as institutions of higher learning, colleges should present political issues from a variety of perspectives. Second, a state's congressional delegation will probably include members of both parties. Highly partisan efforts will probably be counterproductive. Third, those in office today will be voted out of office sooner or later. In that event, the president will need to build solid links to the successors. This will be hard to do if he or she has had a partisan relationship with what was then the "in" party and is now the "out" party.

6. Finally, presidents need to be willing to look for creative answers to political issues, rather than always lobbying against proposed legislation. Some presidents have joined hands to work collaboratively on proposing solutions to long-standing problems. In Indiana, for example, representatives from all of the state's public and private colleges and universities met to discuss how changes in federal legislation regarding student financial aid ought to be made for the greatest benefit to the state. The comprehensive document that resulted reflected the integrated view and enabled the Indiana congressional delegation to take a united position.

Efforts such as these that attempt to deal with the issues while the legislation is being shaped are usually received more positively than purely reactionary ones.

Members of Congress are people who are committed to achieving what is best for their country in the context of what is best for their constituency. College presidents are in an unusually enviable position to make sure their views become part of the process and produce long-lasting institutional impact.

Conclusion

Once a preacher visited a boys' Sunday school class to ask general questions about the Bible. To one boy he said, "Tell me how the wall of Jericho was torn down." The boy began to proclaim his innocence, insisting that he had had nothing to do with damaging the wall. Frustrated, the preacher asked the teacher if this kind of

response was typical of the class. The teacher replied that the boy was a model student and if he said that he was innocent, he probably was. Now visibly upset, the preacher took the matter to his board. After hearing the story, one deacon stood up and said:

> I find it unbelievable that this kind of thing could happen in our church. I think, however, that it would be a mistake for us to make an issue of it. Let's raise some money, fix the wall, and forget about it!

For a long time, walls protected the church-related college and university. But those walls have come down and they cannot be fixed with a mason's trowel. It is up to the visionary college president who, through careful scrutiny and calculated action, enables the church-related college to maintain its integrity and adherence to a carefully defined mission for the foreseeable future.

Notes

[1] See, for example, Kent M. Weeks, ed., *Legal Deskbook for Administrators of Independent Colleges and Universities* (Notre Dame, IN: Notre Dame Law School, 1982), pp. A-4 to A-14 (Appendix B). (Current editions of the *Legal Deskbook* are published by the Center for Constitutional Studies at Mercer University in Macon, Georgia.)

[2] William A. Kaplan, *The Law of Higher Education* (San Francisco: Jossey-Bass, 1978), p. 27.

[3] Ibid., p. 181.

[4] See, for example, in Weeks, *Legal Deskbook*, the list of relevant statutes cited in Appendix B (pp. A-4 to A-14). See also Kaplan, *Law of Higher Education*, pp. 365-438, and Patricia A. Hallender, *Legal Handbook for Educators* (Boulder, CO: Westview Press, 1978), pp. 201-264.

[5] See Fernand N. Dutile and Edward M. Gaffney, *State and Campus* (Notre Dame, IN: University of Notre Dame Press, 1984). This volume focuses on the various *state* regulations that apply to "religiously affiliated higher education."

[6] Kaplan, *Law of Higher Education*, pp. 18-27; John S. Brubacher, *The Courts and Higher Education* (San Francisco: Jossey-Bass, 1971), p. 142; Harry T. Edwards and Virginia D. Nordin, *Higher Education and the Law* (Cambridge, MA: Harvard University, 1979), pp. 19-56.

[7] 406 F.Supp. 1257 (N.D. Ill., E.D. 1976), aff.d. 509 F.2d 1063 (7th Cir. 1976), rev'd 441 U.S. 677 (1979).

[8] 409 F.2d 593 (10th Cir. 1969).

[9] Eugene B. Habecker and James L. Miller, Jr., "Legal Protections for People in Private Colleges and Universities: A Primer," *North Central Association Quarterly*; Winter 1985, p. 346.

[10] Annotation—"Action of Private Institutions of Higher Education as Constituting State Action, or Action Under Color of Law for Purposes of Fourteenth Amendment and 42 U.S.C. sec. 1983," 37 ALR Fed. 601-671.

[11] Kaplan, *Law of Higher Education*, p. 23.

[12] Robert O'Neil, "Private Universities and Public Law," *19 Buffalo Law Review*; 1970, p. 155.

[13] Kaplan, *Law of Higher Education*, p. 22.

[14] See, for example, *Reitman* v. *Mulkey*; 367 U.S. 369 (1967).

[15] Kaplan, *Law of Higher Education*, p. 21.

[16] See W. Richard Stephens, "Legal Challenges to Christian Colleges," Greenville College, December 1983, p. 1.

[17] Ibid., p. 10.

[18] AAUP procedures regarding hearing boards state that hearing board personnel are to be both unbiased and previously unconcerned with the case. See, for example, *AAUP Policy Documents and Reports* (Washington, DC: American Association of University Professors, 1984), pp. 11, 12, 16.

[19] *Black's Law Dictionary*, 4th ed. (St. Paul, MN: West Publishing Co., 1968), p. 1133.

[20] Ibid., p. 134.

[21] Organizations available for these purposes include the American Arbitration Association (1730 Rhode Island Ave., NW, Washington, DC 20036) and the Christian Legal Society (P.O. Box 1492, Merrifield, VA 22116). See also Lynn R. Buzzard and Lawrence Eck, *Tell It to the Church* (Wheaton, IL: Tyndale House, 1985).

[22] See, for example, Cecil Heftel, "How to Testify Before Congress," *AGB Reports*, July/August 1983, p. 35; and J. Edward Roush, "How to Influence Members of Congress," *AGB Reports*, July/August 1983, p. 20.

[23] Roush, "How to Influence Members," p. 22.

153

Robert W. Brown

Financial development is a big part of every college president's job no matter how healthy enrollment, endowment, and budget may be. Individual talents and personalities vary, but Robert W. Brown identifies three key qualities essential to success—ability, willingness, and enjoyment. This essay shares many practical insights and guidelines derived from Dr. Brown's wide experience and scholarship.

In 1978 Dr. Brown was named the 21st president in Culver-Stockton's 134-year history. During his presidency, Culver-Stockton College has more than doubled its enrollment from 380 to 927 students; it has greatly increased its endowment from $1.7 million to $12 million; and it has operated with a surplus for the past nine years. College assets have grown from $7.5 million to $24 million. Total gift support to the college over the past nine years exceeded $23 million.

Dr. Brown holds the bachelor's degree in economics from Adrian College and the M.A. and Ph.D. in educational administration and higher education from Michigan State University. Before he came to Culver-Stockton, Dr. Brown was vice president for development at Adrian College. During his career in higher education, he has also served as an admissions counselor, admissions director, and director of public relations.

Dr. Brown has held many professional leadership positions. He is chair of the Council of Colleges and Universities of the Christian Church (Disciples of Christ) Division of Higher Education and past president of the Missouri College Fund, the fund-raising organization for Missouri's private colleges.

Chapter 11

The Presidential Role in Financial Development

Robert W. Broun
President
Culver-Stockton College

The Presidential Search Committee, established by the board of trustees, invites applications and nominations for the position of president. The president, the chief executive officer of the college, is responsible for all aspects of its operation and reports directly to the board of trustees. The college seeks a man or woman who:

- has a commitment to academic excellence and to the liberal arts;
- has demonstrated leadership;
- has the ability and willingness to raise funds and to enjoy interaction with the college's external constituents; and
- has an appreciation for collegiality and a sensitivity to the needs of all parts of the college community.

The successful candidate, etc., etc., etc.

The advertisement headings are different but the copy reads the same. All the advertisements in the professional newspapers and journals clearly spotlight the importance of a president's ability to attract gift dollars. No one aspiring to the presidency of a private church-related college should think otherwise. Worded clearly, the ads warn the candidate of this prerequisite. They ask for:

- "superior fund-raising and public relations skills";
- "evidence of ability to develop alternate revenue sources including grants and philanthropy";
- "successful experience in fund raising including soliciting of major gifts from foundations, corporations, and individuals";
- "proven administrative fund-raising and public relations talents."

Whenever a candidate receives an offer, the president-to-be should understand the critical importance of his or her involvement in that phase of the total financial development effort commonly called fund raising. The old saying is all too true: "When the well is dry, we know the worth of the water." The successful president, through preparation and involvement, doesn't let the well run dry. He or she is always busy digging new wells—and enjoying it.

The presidential role in financial development can best be described by three key words suggested by the typical advertisement above: ability, willingness, and enjoyment. These words can spell the difference between success and failure. In this context, I must disagree with George Gallup's observation, "People tend to judge a man by his goals, by what he is trying to do and not necessarily by what he accomplishes or how well he succeeds." This just doesn't hold water when it comes to financial development, particularly when the audit arrives. Financial development is highly measurable, and it is results, not dreams or efforts, that pay the bills, build the endowment, and finance the classroom.

Knowledgeable presidents are aware that major foundations have grown increasingly interested in colleges that present evidence of budget balancing and endowment funds to back up brick-and-mortar projects.

For our most recent project at Culver-Stockton College, we received nine sizable gifts from foundations. Five of the nine required that the proposal contain information on the financial and enrollment status of the college. And four of these five requested a copy of the last audit. Three inquired as to whether we were building endowed maintenance dollars into the total cost of the building. These foundations were not judging our goals only; they were just as concerned about our ability to secure their investment over the long term.

Whether you are an experienced president, a new president, or an aspiring candidate, you cannot afford to ignore the importance of the area of financial development. I'd like to propose several bedrock footings upon which to build a successful fiscal foundation for the church-related college. Although no two institutions are alike, there are far more similarities than dissimilarities when it comes to financing the enterprise. Thus, I believe that the principles that follow will be applicable to most institutions.

Things don't happen—you "gotta make them happen"

Whatever your style of leadership (and I recommend James Fisher's *Power of the Presidency*[1] on this subject), you and you alone have the power to make things happen—not the public relations director or the vice president for development or even your board chair. You were given that power by the board of trustees that hired you. Use this power to make things happen, but remember that the power was given in trust and that you are accountable for it. Benjamin Disraeli said it best, "All power is a trust; ...we are accountable for its exercise; ...from the people, and for the people, all springs, and all must exist."

Even the newest president quickly learns that to make things happen, he or she

must assess the college's constituents to see if they will accept and help bring about envisioned new directions.

Board of trustees. The bright, visionary, energetic new president, even before accepting the position, will have sensed the strength of the board. Is there a strong core of energetic, prestigious, and financially power-based trustees who will help make things happen? Or do board members feel that they've completed their responsibilities by hiring a president and presenting him or her with the keys to the kingdom?

Some years ago, I accepted an invitation to be a presidential candidate of a midwestern church-related college. It quickly became evident that I was wasting my time and that of the trustees. Try as I might, it was difficult to see any trustee involvement beyond meeting as a group twice a year. The board did announce, with some pride, that trustee giving had risen the previous year to $27,000. With a degree of brashness, I responded that $100,000 would not be too much to expect from a board of 30, and that they might have difficulty attracting a strong candidate for the presidency as development starts with the board. They ended up making an internal appointment.

A college without the board's enthusiastic commitment, both of time and of money, is best described by Professor Harold Hill from "The Music Man": "You got trouble right here in River City."

Paul Davis, a college consultant, made a study in the late 1960s to identify the most essential element if a college or university was to grow in quality. The popular belief was that growth in institutional quality was solely related to the quality of the faculty. Davis, however, found the common denominator to be a strong board of trustees committed to quality advancement. Today's literature shows a growing acceptance of this conclusion.

Faculty and staff. Any faculty and staff genuinely concerned with the institution's future would welcome Paul Davis' conclusion. Faculty members will not be motivated by a board that is content with the status quo. After the board, the president's primary source of power, faculty members individually and as a body are the next major power base. Involvement of and communication with the faculty are essential if change is to take place. An institution may once have been the lengthened shadow of one person, as Emerson said, but today it would be true to say that an institution is the lengthened shadow of a group of people—and the vision they share.

Alumni. No constituent group benefits more from an institution's advancement than those who went forth as alumni. It is this group that should be most enthusiastic and financially supportive of the president's realistic goals and his or her vision. Unfortunately, with few exceptions, this is not the case. Any new or soon-to-be president should study the college's alumni directory cover to cover to determine which alumni in power positions can be cultivated and involved. Who on the alumni board are "movers"? Which alumni in the community are "doers"?

The new president should glean from the directory a list of about 200 power position alumni. Early in his or her tenure, the president should visit these people, phone them, write them, and win them over to the vision. He or she should

do the same with parents of current and past students. The new president also needs to have eyeball-to-eyeball contact with the Parents' Council. How much power is on that council? How can it be put to use to bring about desired change?

Community. Every community has a core of nonalumni citizens and business leaders who, when skillfully cultivated and tactfully asked, will rally to the support of an exciting vision, eager to become a part of the action and to help identify others who want to be involved in change. These community members often have several motivations: They realize the benefits of college-community growth; they are affected by the president's exuberant confidence in a vision; and they want to be known and remembered as pillars of the community and as advocates of quality education.

Church. I list this potential power base last, not because I consider it a secondary partner, but because most church colleges across the country have had little success in utilizing the resources of the sponsoring church. But don't make the mistake of underestimating the potential force of the church-college relationship. Except for the colleges sponsored by the more fundamentalistic churches, most church-related colleges have no clear blueprint as to how both church and college can increase the benefits of their relationship.

As John Moseley has pointed out elsewhere in this volume, it isn't easy to define what a church-related college is: What goals make it different from an independent private college? What should the partner church expect from the college, and what should the partner college expect from the church? In addition, it is difficult to identify "movers and doers" within the local churches. Ministers and pastors are understandably reluctant to identify people who could become great motivators and supporters of the college but, in doing so, would probably have to decrease their service and benevolence to the church.

Vision, game plan, institutional blueprint, long-range goal: Call it what you like, but call it

R. Miller Upton, distinguished former president of Beloit College, has described administration as the creative coordination of human efforts to achieve a particular end. When first a committee and then a board selects as president one out of 100 or 200 candidates, they believe that person is most apt to have the visionary instincts, the energetic drive, the past experience, the trusting personality, the graduate credentials, and the religious faith to bring new success to their church-related college. Once this person has been given the helm, the college's constituents have every right to know, within a reasonable time, where this new leader is taking the institution. That is they want to know about *ends*.

Three primary *means*—institutional planning, financial development, and staffing—combine to form the catalyst that brings about institutional advancement. Each of the three means must have the other two to work. Planning cannot bring about advancement without funding. Funding without planning is simply wasted money, and without good staffing, as Robert Burns said, "The best-laid plans

of mice and men oft go astray."

Financial development, then, is important as one of the means that make institutional advancement take place. Financial development is the planned means to provide sufficient funds to assure financial stability and institutional advancement. These funds come from four prime sources:

1. gift dollars raised—restricted and unrestricted;
2. income—the result of enrollment management and academic marketing;
3. earnings—the return from endowment investments and more recently from profit-making business ventures; and
4. savings—the rewards of sound budget planning and conscientious business management.

Because the president is inescapably the principal fund raiser of any private institution, good staffing is vital in this area. What does this mean? I began this essay by saying that the president alone provides the vision and that he or she must also be the principal fund raiser. What, then, is the message? I hope it is as obvious as if it were in blinking neon letters: Presidents are to be leaders, not managers.

Thus, as president, you hire an academic expert who understands, accepts, and helps shape your vision and plans for its fulfillment. You hire an enrollment expert who understands, accepts, and helps shape your vision and plans for its fulfillment. You hire a development officer who understands, accepts, and helps shape your vision and plans for its fulfillment. You hire a business expert and a student services expert who understand, accept, and help shape your vision and plans for its fulfillment. You gain the confidence of the faculty who understand, accept, and help shape your vision and plans for its fulfillment.

W.C. Danforth, founder of the Ralston Purina Company of St. Louis, after introducing a new vice president and listening to his speech, returned to the podium to express his admiration. He extolled the speaker's expertise in a particular area and admitted that the man knew more about that subject than he, as chair, knew. He described the speaker as an authority in its truest meaning. Then he paused and, with a twinkle in his eye and a smile, he concluded, "But *I* hired him."

When opportunity knocks, don't be out looking for four-leaf clovers

It's said that "Luck is what happens when preparation meets opportunity." To be sure, the elements of luck, timing, circumstance, and being at the right place at the right time all contribute to success.

A good example of this is a six-figure gift Culver-Stockton received at year-end 1986. It happened because of the 1986 tax reform (circumstance); it happened because the annual visit with the donor, which usually took place in February, was moved up to December (timing); it happened because the donor's accountant was readily available (luck). But mostly it happened because we had been discussing this gift over a six-year period, and the donor wanted to make the gift during his lifetime so he could enjoy the sense of satisfaction it would give him.

Anyone who seriously studies educational administration, particularly the college or university presidency, will discover a group of qualities that distinguish the highly successful presidents from the rest. Such individuals:

- actually enjoy donor prospect cultivation—the planning, the approach, and, yes, even the asking. They strongly believe in their vision and are confident that others will also;
- are percentage risk-takers who are not afraid to take a chance. While not riverboat gamblers, they are base-stealers when conditions appear to favor success;
- seem to thrive on a multiplicity of responsibilities and decision making but realize that every department, division, program, activity, and staff member can contribute to or detract from the objectives set by the president;
- possess an uncanny energy reserve, a timing sensitivity, and an aura of trust that combine to win the confidence and support of individuals and groups important to institutional advancement toward predetermined ends;
- while claiming that they scorn the idea of competitiveness, they are, in fact, highly competitive. They possess a dogged and competitive drive to achieve;
- are sincerely warm and enthusiastic and able to make an individual's gift (regardless of size) or a faculty member's summer study grant (regardless of its significance) appear to be important to the future of the institution;
- bring to the position strong convictions about the role of the president and a philosophy of life and learning that help shape the administration and the institution's journey under their leadership;
- exercise a style of diplomacy that enables them to say "no" to a trustee, faculty member, cabinet officer, athletic coach, or prospective donor and still retain that person's confidence and trust;
- have learned that opportunity's knock is sometimes faint and most apt to be heard when they are listening, not when they are talking. If a prerequisite for a successful presidency is to be a good speaker, it's possibly even more important to be a skilled listener;
- lead exemplary lives and never forget that not only "the Lord giveth and taketh away," but also trustees, colleagues, and communities as well. Nothing destroys faith and trust quicker in an institution's financial development effort than questionable fund-raising practices, the use of gifts for purposes other than that intended by the donor, or conspicuous consumption by the president such as an imperial-style inauguration or the construction or purchase of an expensive home.

Thus, the following advertisement might more candidly describe what a private college is looking for in a modern-day president:

> In addition to the earned doctorate, a commitment to academic excellence and the liberal arts, this college seeks a healthy, competitive, risk-taking visionary genius, capable of making friends out of foes and mountains out of molehills. The final candidate must have a golden tongue and sonar ears and must possess strong convictions, skills in diplomacy, and absolute confidence. The successful candidate would not be afraid to "sell the family parrot to the town gossip."

Income, expenditures, and the bottom line

If financial development is the planned means to increase funds for the purpose of assuring institutional advancement under financially stable conditions, how does the successful president make it happen? What avenues of funding make possible a healthy audit and overall institutional upgrading? The bottom line is determined by gift dollars raised, income from enrollment management, endowment yield, and budget savings.

Gift dollars raised. Since the earliest days, when the majority of the church-related colleges were located or, more accurately, isolated in small protective communities, the demands on the president's talents and energies for long-range eyeball-to-eyeball fund raising were awesome. By horse, mule, horse and buggy, and later by train and even boat, these intrepid people traveled great distances to reach as many prospective friends and donors as they could. By contrast, I can fly out of St. Louis to either coast, make five or six prearranged key contacts, and be home in 48 hours.

Successful fund raising still requires talent and energy but today we have help—swift transportation, computer research, training seminars, and assistants who have assistants. It's less difficult today—in some ways—but a great deal more competitive. As a result of cutbacks in government funding to social agencies, hospitals, and educational institutions, the competition for philanthropic dollars has never been keener. If that isn't enough, consider the massive effort now being put forth by the tax-supported universities to attract private funds. All of this is taking place at a time when the potential pool of 18- to 22-year-olds is shrinking and causing a greater need for gift support to offset declining enrollment income and/or increasing budgeted scholarship dollars.

The following story suggests the intensity of the competition. Two college presidents were walking in the woods one day. As they came into a clearing, a giant grizzly bear came out of the thicket. The two men froze. But then one slowly reached into his backpack and pulled out a pair of Adidas running shoes. His astonished companion whispered, "Surely you don't think you can outrun that bear." His colleague replied, "No, all I have to do is outrun *you*...." Fund raising may not be that competitive but it's close.

Today, if the new or aspiring college president is to succeed, he or she will need to follow these guidelines:

- Accept the fact that successful fund raising will require as much as 50 percent of your time and energy at certain times of the year.
- Don't think that because you have a development team you can sit back, lead the cheers, and pass out the donor recognition plaques.
- Hire and pay well a vice president for development who will be the expert on all phases of fund raising, who will travel extensively and do valuable groundwork, who will share your vision and work to see it happen.
- Know when to "open" (ask for the gift) and when to "fold" (not ask). Timing is critical when you are seeking the big gift. It is not uncommon to go to a donor, project in hand, only to learn that his or her giving potential has increased or

decreased, or his or her interests have changed since the research phase. Remember, listening is as important as talking when you are raising money. Know when to move and for how much.

- As part of preparation, review not only what the gift will do for the college but what it will do for the donor—beyond the tax break.
- When you are approaching foundations, research should cover not only support trends, but the history of the foundation. You should know what its founder's goals were and what its officers and directors want for it today. If your prospect is a corporation, be knowledgeable about its product. In real estate, they say the three keys to success are location, location, and location. In fund raising, we could say the three keys to fund raising are research, research, and research.

Income from enrollment management. The largest sources of operating dollars are generally those received from tuition, fees, and auxiliary services. These funds account for anywhere from 60 to 85 percent of the annual budget income. When enrollment declines are not accompanied by a budget cutback, the usual result is an operating deficit. Today it is not unusual for a church-related college to experience a deficit of from $200,000 to $1 million in a single year.

Substantial deficits usually trigger cannibalization of unrestricted endowment funds, frenzied attempts to increase gift support, and sale of properties. Deficits also cause internal measures such as staff reductions, frozen salaries, delayed maintenance, library purchase reductions, program cutbacks, and the overuse of part-time instructors.

Thus, declining income, resulting from declining enrollment, has to be a major concern of the president. It is his or her problem, and one that cannot be delegated. If you are president of an institution that is facing the possibility of an enrollment decline, or is already suffering from one, the following steps may help:

- In a highly competitive situation, you should never fudge on the admissions operations budget even if cutbacks are necessary in other areas.
- Make sure a highly capable individual is heading the admissions effort as director or dean of admissions. Be sure to include that person on the top administrative committee, the President's Council, Administrative Cabinet, and so on. The director or dean of admissions should report directly to you.
- Personally or with the help of a trustee committee made up of hard-nosed business executives, you should carefully evaluate the performance of the admissions director or dean. Then, with the help of the admissions director or dean, you should evaluate the field representatives and office staff. You also need to determine to what extent faculty members have become involved in the recruitment effort through personal phone calls, letters, and on-campus counseling.
- You may decide to bring in an admissions consulting firm. A good firm can often do a better job than you can at evaluating your current admissions territories, publications, marketability of present programs, and off-campus image. Once you've found such a firm, follow its consultants' recommendations to the letter. Don't pick and choose or you will have wasted their time and your money.
- A student saved is a tuition earned and a future alumnus as well. Make a thorough study of attrition. Find out why students leave. Attrition is a major

problem across the country. A 10 percent turnaround could mean the difference between a balanced budget and a deficit.

• Ask yourself, "To what extent do I get involved in the admissions recruitment/retention effort?" Probably "not enough" is the honest answer in all too many situations.

Endowment yield. Those colleges fortunate enough to have an unencumbered sizable endowment should thank the pioneer administrators and trustees who wisely insisted that a planned giving program was to be a part of the development portfolio.

If you are a new president, you should immediately attend a planned giving seminar even if you have to miss an early faculty meeting—it's that important. Even before the inauguration, a few alumni or community friends will want to take you into their confidence about estate plans they are considering that are to include the college. You should understand the various deferred giving plans and the existing tax laws; you should be prepared to suggest estate plans; and you should know a tax lawyer to turn to for specific information. You also need a vice president for development who knows more about deferred giving than you do but less about tax law than your tax lawyer does. The prospective donor wants you to tell him or her what the best program is—that is, what will give the greatest benefits to the college and the most satisfaction and best tax advantage to the donor.

Deferred giving is probably the most laborious form of fund raising but, in the long run, the most rewarding and beneficial to the college. It is the major means of building an endowment. It demands the efforts of the president, the vice president for development, the vice president for business affairs, and at many colleges a deferred gifts officer and the college attorney.

How and where the endowment funds are invested are primarily board decisions coming out of the investment committee. This committee should include as members the president, the vice president for development, the vice president for business affairs, and board members who are investment counselors, bankers, wealthy business executives (who themselves are heavily invested), and lawyers. Successful investing is most likely to take place when an investment committee of skilled, experienced professional trustees works closely with a professional investment firm or, better still, with two different (and competing) investment firms, both of which have successful performance records.

Some institutions have taken a relatively new approach to their attempts to increase endowment yield or, more accurately stated, to show a profit. They have formed a separate for-profit corporation or foundation. This involves a second and totally independent corporate board of directors who are responsible, probably through a named executive director, for the operation of a profit-making business and the disbursing of the profit and, yes, the paying of taxes on that profit. This corporation, operating in the long-range interest of the parent college, may buy into or start or receive as an estate gift or outright gift an existing business or industry.

To use endowment funds to begin such a venture is not advisable. Once you have met all the somewhat complicated legal requirements, the best way to begin such an endeavor is to find a trustee interested in free enterprise who is will-

ing to make an up-front lead gift to buy into an existing business, like a shopping mall, land development, or small feeder plant located within the general area of the college. Arkansas College, the University of Detroit, and Washington University in St. Louis have established—or are in the process of establishing—a separate for-profit corporation.

Budget savings. Under healthy financial conditions, dollars saved by tight budgeting, energy watchdogging, expense account monitoring, planned timing in the paying of bills and collecting of accounts can all add up in the audit to dollars above and beyond a balanced budget. These dollars provide insurance against the next budget year.

On the other hand, it's possible that no strategy can avert an operating deficit during a continuing enrollment decline. Certain cutbacks, increased unrestricted gift support, and going long-term for higher endowment investment yields may combine to soften the blow.

During such traumatic times, the presence of a skilled vice president for business affairs often means the difference between survival and demise. Most presidents have little, if any, accounting background, plant management experience, or food service training. They are inexperienced as purchasing agents, fringe benefits managers, and insurance buyers, and their dealings with bankers are limited. In any given year, the dollars involved in this array of business dealings will probably equal what is generally considered the major item in any budget—salaries. A skilled and dedicated business officer makes money by saving money. As the TV commercial for the investment firm of Smith Barney says, "We make money the old-fashioned way—we earn it!" Dollars saved are, in fact, dollars earned.

If salaries constitute the largest line item in a budget, what can a college on the verge of or already into a deficit spending situation do?

The most drastic but sometimes the most effective thing to do is to offer faculty and staff contracts but not increases and at the same time trim staff, starting with administrative cutbacks and then faculty reductions. Several good colleges and universities have used this strategy but none with more success than Central Methodist College in Fayette, Missouri. Central Methodist reduced professional staff by nearly one-third and did so with a minimum of damage to the institution. It is a stronger church college today than it was five years ago. President Joe Howell and his board knew there was no other way.

Some troubled colleges and just as many healthy colleges have started the practice of offering frozen contracts in the spring with a promise that retroactive raises will be considered in the fall after the enrollment is known.

For some colleges it has proven a good practice to adjust their budget year forward so as to have a more accurate picture of the fall enrollment and income. Another practice is to approve in the late spring a tentative budget subject to final approval or adjustment in the fall.

Although Culver-Stockton has a nine-year history of year-end surplus dollars and a capacity enrollment, for the past three years we have offered contracts in March with 3 to 4 percent increases and the possibility of an additional retroactive increase

after fall registration is known. In addition, the trustees approve the operating budget in October.

Budget management is an art. In good times the disease most apt to silently attack sound budget management is apathy. In bad times the scoundrel is sudden overreaction rather than a planned retrenchment drafted by a committee of trustees, administration, and professional staff.

Conclusion

Within the professional, challenging, rewarding, disappointing, frustrating, competitive field of financial development, remember:

- The pioneers traveled by horse, not jet. There was no such incentive as a tax-deductible gift, and federal loans or Pell Grants were unheard of.
- Whoever said it was right: "Progress always involves risk; you can't steal second base and keep your foot on first."
- To succeed, the president of a church-related college needs a deep religious faith. The lifelong humble philosophy of William Anderson Archibald, a great international YMCA leader, exemplifies the degree of commitment: "I may not be much, but God and I in partnership are more than a match for anything that can assail us."

The joy of a $3-million gift or a balanced audit must closely parallel the thrill of golfing as expressed by Arnold Palmer: "What other people may find in poetry or art museums, I find in the flight of a good drive—a white ball sailing into the blue sky, growing smaller and smaller, then reaching its apex, curving, falling, and finally dropping to the turf to roll some more—just the way I planned it."

If you planned it, nursed it, rehearsed it, and made it happen, the reward is not in salary compensation but in accomplishment. Go for it!

Selected Resources

Association of Governing Boards of Universities and Colleges. *Presidents Make a Difference.* Washington, DC: 1984.

Boyer, Ernest L. *College: The Undergraduate Experience in America.* The Carnegie Foundation for the Advancement of Teaching. New York: Harper and Row, 1987.

Brown, David G. *Leadership Vitality*: Washington, DC: American Council on Education, 1979.

Fisher, James L. *Power of the Presidency*: New York: American Council on Education/Macmillan, 1984.

Green, Janice S., et al. *Opportunity in Adversity*: San Francisco: Jossey-Bass, 1985.

O'Neill, Joseph P., and Grier, Phillip M. *Financing in a Period of Retrenchment.* Washington, DC: National Association of College and University Attorneys, 1984.

Section 5

Growing in the Presidency

Dan C. West

Over and over the essays in *Courage in Mission* have asserted the need for visionary, bold leadership in the presidency of the church-related college. Yet such leadership demands that the man or woman who fills the role simultaneously dream the future and deal with the present. Under these demands, stagnation and burnout are all too common. How can a president achieve professional renewal?

After 10 years in the presidency of Arkansas College in Batesville, Dan C. West took a sabbatical—an uncommon practice among presidents. But perhaps, he suggests, it ought not to be. This is just one strategy among the many he suggests in his essay, "Professional Renewal for the College President."

Dr. West has written and published widely about this aspect and others of the small college presidency. He attended the U.S. Naval Academy and Texas Christian University and received the B.A. from Austin College. He earned the B.D. from Union Theological Seminary, the D.Div. in Systematic Theology from Vanderbilt University Divinity School, and the Ed.D. in education administration from Harvard University. He is currently a member of the board of directors of the Council of Independent Colleges.

Chapter 12

Professional Renewal for the College President

Dan C. West
President
Arkansas College

For good or ill, small colleges are structured so that they are dependent on the vision, initiatives, leadership, and prescience of their presidents. That makes them very vulnerable, and it makes the responsibility of being a small college president a heavy one indeed. Presidents must lead. The small college that does not rigorously evaluate, revise, improve, and search for innovations that will increase its effectiveness and efficiency will not long survive in these difficult times. And it is the president who must plan ahead, dream for the future, set the pace, articulate the mission, and encourage and coordinate the innovative thinking of others: trustees, faculty, staff, and students.

The president is in a unique position. He or she is in touch with all of the college's constituencies, knows something of all of its projects and programs, knows more about its weaknesses and vulnerabilities, and has a better grasp of where it has been and what its strengths are today than anyone else. The reason for this, again, is the peculiar way in which American colleges are structured. The board is ultimately responsible, but the board hires the president to be responsible on a daily basis, and the president is immediately and unquestionably accountable to the board for everything that happens in and to the college.

I think of myself as living somewhere between where the college is now and where I think it ought to be in the future. I also find that the longer I serve as president and the more experience I get, the further into the future I tend to project that vision of where the college ought to be as opposed to where it actually is. This kind of living and thinking between the now and the anticipated is one of the most important things a president does. It may rank in importance just below fund raising and maintaining a good working relationship with the trustees.

A president should constantly insist that the college has not arrived, is not yet good enough, not yet effective or efficient enough. He or she should remind, suggest, persuade, and plant ideas in such a way that others think them their own or at least are given credit for them. Leadership is partly a matter of convincing people that they can do more than they think they can. The president who merely manages and does not lead, the one who keeps a finger on the pulse but never pricks or stimulates, the one who coordinates the consensus and never leads from a new stance will preside over an institution that is slipping backward rather than moving forward.

Yet presidents who would be visionaries find this extremely hard work. There is much to discourage it in the very nature of a college. Faculty members are generally suspicious of anything new unless it's their own idea. Trustees are often more cautious and deliberate about the affairs of the college than the running of their own businesses. Staff and students often see the president as distant and uncaring (most of us are absent from campus too much to be well known to them) and think the new idea coming from the president may mean they'll have to work harder and have less fun.

Colleges are enormously complex organisms, resistant to change, suspicious of outside interference, wary of administrative authority, and sensitive to loss of power or prerogatives. All of this makes innovation difficult and visionary leadership suspect. Yet we cannot abdicate our responsibility. The trustees depend on us to lead our institutions into the future. So do faculty, staff, students, alumni, and donors, but unfortunately few of them have a wide enough perspective to be able to see anything close to the whole picture and to understand the necessity of constantly testing new waters.

Staying up and staying well, keeping alert and keen in your thinking, and maintaining perspective and the necessary energy level in order to achieve the above are difficult. The myriad duties of a presidency are daunting. You could spend all of your time just responding to the questions, making the requested decisions, putting out the fires, and doing whatever does not seem to belong in anyone else's job description. Then, at the end of the day or the week or the decade, you will find you are too exhausted to think about the future except to hope that your head is somehow still above the surface.

How do you remain vital and imaginative in this situation? I've been pondering that question for many years, and I have some suggestions that may help you to professional renewal.

Learn to disengage

Occasional disengagement is necessary to avoid mental and physical fatigue. You need to uncouple your mind from the issues and problems on campus. There are as many ways to do this as there are different people serving as college presidents. A president may enjoy an occasional movie or golf game, a weekend retreat or a day in the garden, cooking a special meal or playing bridge, or perhaps a quiet conversation with his or her spouse.

Read, read, read

Reading is important. You must force yourself to read books and other material not directly related to higher education. If you are to be visionary in outlook, your mind needs to be stimulated to think in different ways and see things from different angles.

College presidents, to be effective, must be true generalists, interested in all parts of the curriculum, all specializations of the staff, and all aspects of planning, evaluating, and improving the work of the college. This requires a very broad perspective and at least some knowledge of a lot of areas. You need to read widely in history, literature, historical fiction, economics, the arts, social science, and physical science. New ideas come from reading and reflecting upon what we read as compared to our own experiences. If you don't have time for "outside" reading, then you are spending too much time on the mail, not budgeting time for selected reading, and cheating the college as well as yourself.

Get out of town

It's important to "get away from it all," and not just for another fund-raising trip or to attend another meeting. You need to gain the benefit of distance—a fresh perspective. Detaching yourself from work for a day produces a higher energy level, and it gives you a more objective look at the college. I have found that some of my best ideas about next steps or needed changes have come while away from the college where I can see it with greater objectivity.

Some presidents have weekend retreats—particularly important if you live on campus. Others take occasional weekend trips to a resort. Some combine a trip to a professional meeting with a long weekend in a distant city. Some plan a holiday out of the country each year to ensure that the getting away is complete. In whatever way you can get out of town, the college's town, do it. You'll find that it makes a great difference.

Talk to other presidents

Presidents should make sure they talk to other presidents. Every college president should know two or three successful presidents whom he or she admires and respects and with whom it is possible to talk from time to time. No one really understands the dilemma of a college president except another college president.

No one's ideas are quite as valuable to me as the ones that have worked for another president whom I regard as effective.

Another author might suggest attending the various annual meetings of higher education associations around the country. Some are more helpful than others, but the real value of attending these is the chance to talk with other presidents. If you cannot afford either the time or the money to go to meetings, then develop

a relationship with another president or two. Try to exchange visits each year or meet somewhere you can feel free of responsibilities for a while and exchange ideas. (See p. 111 for a list of presidents willing to share their insights.)

Hire good people to help

It is important to choose good staff people to work for you, especially those on the senior or executive staff, the deans and vice presidents. They should not only be the most talented and experienced the college can find (and afford), but they should be intelligent and creative enough to provide you with ideas.

I always try to hire people who are smarter than I am. At least they should be people who are much more knowledgeable and experienced in their areas of responsibility than I am. I want to learn from them, be stimulated and challenged by them. It is therefore important to cultivate a relationship with them that makes them feel free to disagree, challenge, counter-propose, or suggest a radical new departure. Such people are invaluable to a good president and must be encouraged and rewarded in every way.

Socialize outside the college

Many presidents say it is important for them to have friends with whom they can spend time who are not associated with the college. I agree, but this has been difficult for me to do because of time pressures. I know, however, that people whose lives and interests are not connected to the college not only help me forget for a while but often give me a new insight.

Write

I try to discipline myself to write at least one publishable article each year. It is a way of ensuring that I read in an organized way on some issue or subject and then focus my thoughts sufficiently to articulate a position or at least to analyze a problem.

The bylaws of the board of trustees of my college require the president to submit an annual report. This is true of many colleges. To prepare the annual report, I ask every executive officer and most directors of programs to write reports on their areas of responsibility, and I write a chapter on my own activities for the previous year. After reading these, I write an introduction that attempts to summarize and evaluate everything that happened at the college over a 12-month period. I find that this is a discipline that requires me to reflect and critically examine, and often it prompts new ideas.

Find a mentor

As is the case with other presidents, I have mentors. Your mentors need not be other college presidents. A former boss, a senior professor of higher education, a corporate executive, or a professional in another field may be a mentor. Telephone conversations, visits, or long letters (if you are fortunate enough to find a mentor who is a good correspondent, as I have) are helpful ways to exchange information, garner ideas, and gain new perspective.

Seek evaluation

While these approaches may be beneficial to a president and help him or her gather new ideas and keep a wider perspective, they may not suffice, especially if a president stays a long time at the same college. How long is too long? The question cannot be answered with a generalization. Every college—and every president—is different. Circumstances change. So do presidents.

Many small colleges would greatly benefit from a president who stayed 10, 15, even 20 years if he or she were adept and effective at self-renewal. Other colleges would benefit more from a change of leadership every few years. If the college is basically stable, a new president every three to seven years might keep it vital and progressing. Who is to say? Probably not the president. Which of us can be truly objective about our own abilities and the impact we are having on our college? The key is careful and regular evaluation of the president.

Evaluation of the college's president is an important responsibility of the trustees. It should not be delegated to consultants, alumni, or faculty and staff. The scrutinization of the president's performance should begin with a written job description, periodically if not annually revised to take into account the changing needs of the institution. The president's performance should be measured against it. If an evaluation is not being done, the president should insist on it. We all need to know where we stand and how we can do a better job.

Presidents who insist on an annual evaluation are in a much stronger position to negotiate a graceful exit if that becomes necessary or to ask for a change in working conditions, compensation, or other contractual arrangements when he or she believes they should be changed.

Perhaps the method of evaluation used by my trustees will be illustrative. I am sure this is by no means the only way to do it. The executive committee of our board evaluates my performance each spring. A form and a copy of my job description are sent to each trustee on the committee. Each is asked to check a rating in several areas and also to write comments for a more thorough and telling appraisal.

The completed forms are sent to the chair of the board who also chairs the executive committee. He collates the results and prepares a summary with an average of the ratings and all comments typed out anonymously. I am not present when the chair meets with the committee to discuss my performance. The committee decides the important points to be shared with me, and it determines my salary

and other benefits for the next year. The chair then meets with me privately, gives me the summary of the evaluations, and informs me of my compensation and other points agreed upon by the committee.

The annual evaluation and the conversation I have with the chair teach me a lot. I learn much about myself and the college that I would not otherwise learn. Early in my presidency I learned I was not delegating enough. Later I was advised that there were too many people reporting directly to me. Another year I learned that many on the staff were reluctant to disagree with me. Such problems can often exist without our being aware of them. Yet when there is a good relationship, trust, and confidence between the president and the trustees, such criticisms are understood as positive aids to improving effectiveness and are thus in the best interest of both college and president.

An annual review is also important in identifying exhaustion, both physical and mental, in the college president. Such a review can help the board recognize when professional development or redevelopment or even a career change is necessary.

The risks of an unpleasant end to a presidency are great. Neglect of family or health, circumstances beyond the president's control, political or administrative mistakes leading to a campus crisis too severe for remaining in position, arrogance due to illusions of indispensability or invulnerability, and just staying too long are some of the causes of unhappy endings to a college presidency.

It is probably the case that in most instances a president should not stay in the job longer than 10 years without some type of sabbatical to renew and refresh himself or herself. After that long, most of us are going to be clean out of new ideas in spite of our best efforts to the contrary.

In my case, a full 12-month sabbatical in my tenth year seemed the most appropriate avenue. The idea was discussed at some length, first with the board chair and then with the executive committee. When it was agreed that I would go, one of our trustees accepted the position of acting president. The executive officers rose to the occasion, and it all worked beautifully.

My sabbatical is the best thing I have done professionally since I got into college work. Like most college presidents, I had little formal training for what I did most of the time. Consequently, for my sabbatical I chose to enroll in a degree program in higher education administration at a major university. I came back renewed, mentally and physically, and with new ideas and a revived commitment to my work and the college.

Of course, not every president can, or wants to, take leave for a full year. In many instances, a shorter time away will suffice. There are some very good one- or two-month professional development courses. Summer study, visiting scholarships, travel or rest leaves, research sabbaticals, internships in business or industry, and exchanges with other presidents are all possibilities. Such "times out" should be insisted upon by the trustees from time to time. When well conceived and well timed, they are far less expensive than searching for a new president.

Presidents and boards who wait for just the right time will never take or grant a leave. After six or seven years of such a delay, the president and the board—

together and with commitment—should begin looking at different alternatives and begin preparing for the leave.

I began by saying that small colleges are very dependent on whoever happens to be their president. That makes them vulnerable to ineffectual, unimaginative, or stagnant leadership. On the other hand, the able president who loves his or her work, remains vital and creative, protects against stagnation, and plans significant renewal experiences can have a dramatic impact. He or she can experience the satisfaction of making a profound difference for one of this nation's most important institutions: the small, value-oriented, person-centered, liberal arts college.